Scottish Bus Emissions Abatement Retrofit Programme – Phase 4

Assessment Process Guidance

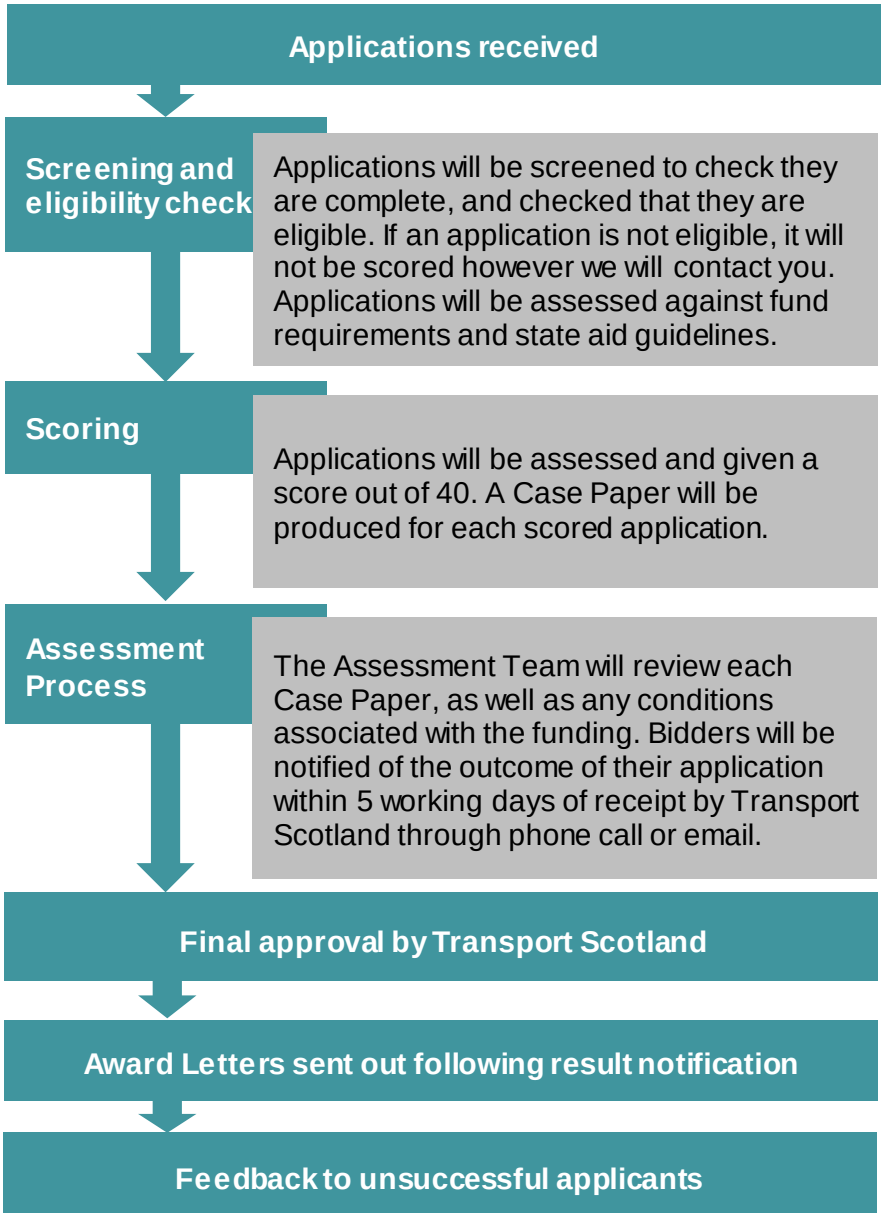
CONTENTS

1 Purpose of this document

This document sets out the approach for taking BEAR Phase 4 applications through a process of assessment in order to allocate grant funding to projects that support the strategic aims of BEAR Phase 4.

2 Summary

There are three key stages to the assessment of BEAR Phase 4 applications. The flow chart below summarises these stages.



2.1 BEAR Phase 4 Strategic Aims

Transport Scotland will ensure the BEAR Phase 4 assessment process is open, transparent, fair and robust for all applicants.

In order to be considered for funding, applications need to identify projects that deliver benefits directly in line with the core strategic aims of BEAR Phase 4. These strategic aims are to:

- Support licenced bus and coach operators (including community transport operators and local authorities) to reduce nitrogen oxide (NO_x) and particulate matter (PM) emissions of existing eligible fleet vehicles operating on routes within, or located primarily within, one of Scotland's cities identified in the Programme for Government 2017 LEZ commitment (i.e. Aberdeen, Dundee, Edinburgh and Glasgow) and/or one of Scotland's Air Quality Management Areas (AQMAs) through the installation of Clean Vehicle Retrofit Accreditation Scheme (CVRAS) accredited retrofit technology measures. Significant reduction in emissions >80% are to be achieved whilst the vehicles operate within the LEZ areas.
- To demonstrate and evidence the effectiveness of retrofit technology to Scottish bus operators through an effective monitoring framework collecting, analysing and sharing operational data to demonstrate real world emissions reduction from the use of the retrofit technology and identify and assess any associated impact on fuel consumption and efficiency, and contributing to LEZ monitoring and enforcement.

Specifically, BEAR Phase 4 aims to permit:

- Buses/coaches fitted with CVRAS accredited equipment which reduces emissions to Euro VI levels or better in real world conditions for NOx, NO2 and particulates such as selective catalytic reduction traps (SCRT).
- Buses/coaches fitted with CVRAS accredited lowemission drivetrains such as gas power hybrid or electric drive. Bids proposing new repower types will also be considered.
- Monitoring and evaluation identifying evidence of the effectiveness of retrofit technology to Scottish bus operators by sharing operational data to demonstrate real world emissions reduction from the use of the retrofit technology and identifying and assessing any associated impact on fuel consumption and efficiency.

Scotland's current Air Quality Management Areas (AQMAs)

January 2018

BUS EMISSIONS ABATEMENT RETROFIT

01 Aberdeen City Council
- City Centre
- Anderson Drive
- Wellington Road

02 City of Edinburgh Council
- City Centre
- Glasgow Road
- St Johns Road
- Great Junction Street
- Inverleith Road
- Salamander Street

03 Dundee City Council
- Dundee

04 East Dunbartonshire Council
- Kirkintilloch Road, Bishopbriggs
- Bearsden

05 East Lothian Council
- East Lothian

06 Falkirk Council
- Grangemouth
- Haggs
- Falkirk Centre
- Banknock

07 Fife Council
- Bonnygate
- Appin Crescent

08 Glasgow City Council
- Glasgow City Centre
- Parkhead Cross
- Byres Road / Dumbarton Road

09 Highland Council
- Inverness City Centre

10 North Lanarkshire Council
- Coatbridge
- Chapelhall
- Motherwell
- Croy

11 Perth & Kinross Council
- Perth
- Crieff

12 Renfrewshire Council
- Paisley Town Centre
- Johnstone
- Renfrew Town Centre

13 South Lanarkshire Council
- Whirlies Roundabout
- Rutherglen
- Lanark

14 West Lothian Council
- Broxburn
- Linlithgow
- Newton

3 Pre-assessment process

During the pre-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 40 and a Case Paper will be produced outlining how this score was reached (see Annex 3 for the scoring framework and Annex 4 for an example Case Paper). The Assessment Team 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 grant funding and the strategic aims of the BEAR Phase 4 programme.

BEAR Phase 4 programme is open immediately and bidders are encouraged to bid as early as possible. The outcome of the funding application will be communicated within 10 working days of the closing date.

Applications received after **5pm on Thursday 19 August 2020** will not be considered.

3.1 Screening

Applicant organisations are expected to provide full details of their proposed project on the BEAR Phase 4 application form. Please ensure this is filled in completely before submitting.

Please also ensure the Calculator and Fleet Data spreadsheet is submitted at the same time along with any supporting evidence.

Transport Scotland will complete an eligibility check that will assess all applications against BEAR Phase 4 eligibility criteria i.e. the applicant organisation, vehicles and measures.

- Grants are available to licensed bus and coach operators or local authorities (including community transport operators) operating eligible vehicles based on routes within or located primarily within a local authority with one of Scotland's Air Quality Management Areas (AQMA). Priority will be given to eligible vehicles on routes that pass through one of Scotland's AQMAs and/or Low Emission Zones set out in the 2017 Programme for Government commitment (i.e. Aberdeen, Dundee, Edinburgh and Glasgow). Details of all of Scotland's AQMA's can be found in Annex 6 of this document and on the Scottish Air Quality website: http://www.scottishairquality.scot/laqm/aqma.
- Grant will only be open to vehicles that meet the following criteria:

Eligibility criteria	Requirements
Vehicle	Buses and coaches operated under a Public Service Vehicle operator licence or used for voluntary, community or other non-profit making purposes. Owned by applicant for a minimum of 12 months.
Age	Less than 13 years old at time of application
Remaining service life	A remaining service life of at least five years in Scotland

Emissions standard	Euro IV or V from factory. Engine out emissions needs to be consistent with OEM standards.
Data	To provide quarterly telematics data demonstrating both daily and instantaneous NOx and PM abatement per bus through a data portal, maintenance of equipment, daily AdBlue consumption, daily mileage, mpg, GPS location of bus; all for a minimum 5-year period. In addition, where possible, at least 12 consecutive months of historical fuel consumption data for each specific vehicle prior to retrofitting in order to effectively monitor and evaluate any associated impact on fuel consumption and efficiency resulting from
Environmental commitment	Operator to confirm in application form how services will be delivered in an LEZ and/or AQMA.

If a vehicle is poorly maintained following retro-fitment, then it is possible that retrofit technology will not operate effectively and applicants will therefore be required to demonstrate a history of effective maintenance and commit to an agreed maintenance cycle. Bus retrofit technology manufacturers currently support some, but not all, bus models operating in Scotland that meet these eligibility criteria.

The list of approved manufacturers and devices currently Clean Vehicle Retrofit Accreditation Scheme (CVRAS) accredited are available on the EST website: https://energysavingtrust.org.uk/service/clean-vehicle-retrofit-accreditation-scheme/

More vehicle/engine configurations are being tested and will be added as test data is provided. There is also the possibility for CVRAS to assess approval extensions on a case by case basis dependent on bus fleet composition and applications required. The retrofit supply industry is currently assessing the market needs of the Scottish bus fleet to understand the vehicle/engine combination requirements for retrofit emissions reduction solutions.

- Grant funding will only fund retrofit technology measures accredited by the CVRAS. EST and the Low Carbon Vehicle Partnership (LowCVP) now ZEMO, jointly launched CVRAS in mid-2017. CVRAS provides a detailed list of accredited retrofit technology providers to the bus sector. A number of bus models operating in Scotland may not have an accredited retrofit technology because the technology has yet to be tested on these specific bus models. BEAR Phase 4 grant funding will be available for the following CVRAS accredited technologies:
    - Selective Catalytic Reduction (SCR) units that reduce NOx emissions by reacting with ammonia over a catalyst resulting in emitting harmless emissions of nitrogen and water; these must include Diesel Particulate Filters (DPF) to reduce the particulate matter emissions from the exhaust.
    - Engine repowers such as gas conversion, hybrid and electric drive conversions.
- Additional fuel costs are not eligible for grant funding.

3.2 Monitoring Requirements

As retrofit technology has not been deployed in Scottish bus fleets before on any scale a key objective of BEAR Phase 4 will be to establish an effective monitoring framework to:

- Demonstrate and evidence the effectiveness of retrofit technology to Scottish bus operators
- Obtain feedback from Scottish bus operators on the use of bus retrofit technology
- Understand the logistics of installing bus retrofit technology, to create early findings that will inform subsequent BEAR phases
- Test and if necessary refine the funding model to support subsequent BEAR phases
- Collect, analyse and share operational data from emissions monitoring equipment including vehicle telematics to demonstrate real world emission reduction from the use of the retrofit technology and support CVRAS accreditation
- Identify and assess any associated impact on fuel consumption and efficiency resulting from retrofit installation to inform bus operators and subsequent BEAR phases
- Support LEZ monitoring and enforcement.

Because monitoring and evaluation is a key objective of BEAR Phase 4, the provision of data by BEAR Phase 4 grant recipients will be an absolute requirement. As a minimum BEAR Phase 4 grant recipients will be required to provide a record of specific fuel consumption, daily distances driven, hours operated, daily average NO_x and PM emissions reductions, GPS location of bus, daily AdBlue use and maintenance carried out for each vehicle funded. This information can be sent directly to Transport Scotland from equipment supplier if preferred via a data portal. Data to be sent at a minimum quarterly interval for a minimum period of 5 years.

The current standards for CVRAS retrofitted equipment require in-service performance of >80% daily NOx reduction. Applicants are advised to ensure that both the equipment fitted and the condition of the existing vehicle is sufficient for this to be achieved in-service. This will require regular AdBlue filling and maintenance. In some cases, applicants may need to adapt their processes to ensure that the retrofit equipment is maintaining sufficient temperature for NOx abatement to take place.

Applicants will therefore be required to agree to the installation of additional emissions and air quality monitoring equipment on vehicles sufficient to allow each vehicles emissions to be monitored, the performance of retrofit technology to be monitored and accredited where necessary, and to enable mobile air quality monitoring. Applicants will also be required to agree to participate in a monitoring process that will involve the collection, analysis and dissemination of associated data to help inform Transport Scotland, Scottish Ministers, Scottish bus operators and other key stakeholders on the impact of the programme for a minimum 5-year period.

3.3 Fund Requirements

Applicants will be required to identify and provide evidence of costs in their application and these will be assessed and reported to the Assessment Team. 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.

BEAR Phase 4 grant funding constitutes State Aid and is aligned with the context of the European Union rules. Applicants therefore have the option of applying for BEAR Phase 4 grant funding either under the European Commission's 'de minimis' Regulations, or under the revised European Commission State aid decision on 14 May 2020.
https://ec.europa.eu/competition/state_aid/cases1/202024/284252_2163001_86_2.pdf

De minimis grant funding allows organisations to receive up to 100% grant towards eligible capital costs, limited at total of €200,000 of 'de minimis' State aid over any three-year fiscal period. Alternatively, operators can receive up to 95% grant towards eligible capital costs under the revised State aid terms of 14 May 2020. The Phase 4 grant calculator permits operators to toggle between these State aid thresholds for the appropriate level for the application.

The definition of SMEs used in the State aid area is as follows:

- A medium-sized enterprise is an enterprise satisfying all of the following criteria:
  - has fewer than 250 employees and
  - has either an annual turnover not exceeding €50 million, and/or a balance-sheet total not exceeding €43 million.
- A small enterprise is an enterprise that satisfies all of the following criteria:
  - has fewer than 50 employees and
  - has either an annual turnover and/or a balance-sheet total not exceeding €10 million.
- A micro- enterprise is an enterprise that satisfies all of the following criteria:
  - has fewer than 10 employees and
  - has either an annual turnover and/or a balance-sheet total not exceeding €2 million.
- The criteria must be applied to the company as a whole (including subsidiaries located in other Member States and outside the EU). The Regulation provides definitions of an *autonomous enterprise*, *partner enterprise* and *linked enterprise* in order to assess the real economic position of the SME in question.

Illustrative examples of the BEAR Phase 4 funding options are provided below.

- Example 1: Bus Company A is a small enterprise and has a fleet of eight vehicles it wishes to have retrofitted and has not received any De-Minimis funding in the last three financial years. Bus Company A has a choice of two funding options:

Option 1 - De-Minimis funding:	Bus Company A can apply for De-Minimis funding of up to €200,000 and can apply for funding to retrofit nine of its twelve vehicles (9 x £18,000 = £162,000 or €182,000).
Option 2 - 95% State aid threshold	Bus Company A can apply for 95% State aid threshold funding to retrofit all twelve of its vehicles. This will allow Bus Company A to fund up to 95% of the cost of retrofitting its vehicles (12 x £18,000 = £216,000 x 95% = £205,200).

- Example 2: Bus Company B is a large enterprise and has a fleet of 20 vehicles it wishes to retrofit and has received €142,000 in De-Minimis funding in the last three fiscal years. Bus Company B has a choice of two funding options:

Option 1 De-Minimis funding:	Bus Company B can apply for De-Minimis funding of up to €58,000 and can apply for funding to retrofit three of its 20 vehicles (3 x £15,000 = £45,000 or €50,500).
Option 2 - 95% State aid threshold	Bus Company B can apply for 95% State aid threshold funding to retrofit twenty vehicles. This allows Bus Company B to fund up to 95% of the cost of retrofitting its twenty vehicles 20 x £15,000 = £300,000 x 95% = £285,000).

http://ec.europa.eu/competition/state_aid/legislation/reference_rates.htm

3.4 Scoring

There are four project impact criteria that will be assessed and scored for each project. Scores will be determined based on the information provided in the application form and calculator spreadsheet. Any supplementary documents provided to support the application will not impact the score of an application. Transport Scotland may contact applicants throughout the assessment process to seek clarification on specific elements of the application; however, any information provided to Transport Scotland subsequent to the submission of the application form will provide context only and will not impact scoring. Applicants should ensure that all project impact criteria have been addressed in the application form.
Each criterion will be weighted equally and given a score out of ten – meaning that total quality scores will be out of 30. Furthermore, up to 10 marks will be awarded for value for money relative to the degree of air quality improvement. Transport Scotland assessors will provide a short comment with a justification for the score. The four criteria that will be assessed and scored are:

- Project rationale and strategic fit
- Deliverability
- Emissions reductions
- Value for Money

For an explanation of each of these criteria and how they will be assessed see Annex 3.

3.5 RAG rating

In addition to an overall score, each project will also be assigned a red, amber or green (RAG) rating. The purpose of the RAG rating is to highlight any risks or issues identified during the assessment to the Assessment Team.

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.

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 remains unresolved.
GREEN	Projects that receive a green RAG rating are considered low risk, and will have no unresolved issues.

4 Role of the Assessment Team

The Assessment Team will be responsible for testing and ratifying the assessments presented to them in the project Case Papers.

The Assessment Team will discuss the relative scores of the applications as well as issues and risks associated with the projects, and, importantly, how various combinations of applications will achieve the strategic aims of BEAR Phase 4 (see section 2.1).

The Assessment Team will have discretion to recommend awarding funding to applications that may not necessarily represent the highest ranked, but will deliver on strategic aims – such as geographic spread across Scotland's AQMAs, number of operators introducing retrofit technology, etc.

The Assessment Team will receive a copy of each eligible application form and a Case Paper for each eligible application. See Annex 4 for an example Case Paper.

At end of year, a Summary Paper will be produced that provides a strategic view, an explanation of scoring process, and a summary of applications funded.

The outline of the Summary Paper is as follows:

- An overview of the strategic aims of BEAR Phase 4.
- An explanation of the scoring process and project impact criteria.
- A complete list of all projects and their respective scores and RAG ratings.
- A list of applications funded.
- An explanation of the rationale behind the funding awards, i.e. an assessment of overall alignment to strategic aims of BEAR Phase 4, value for money etc.
- Proposed key areas of discussion for future schemes.

5 Awards and due diligence

Following the Assessment, and once Transport Scotland has given final approval, letters providing conditional offers of funding will be issued to successful applicants. Letters will include any conditions set out by the Assessment Team 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, vehicle eligibility. It will also ensure that any concerns raised by the Assessment Team have been addressed.

Unsuccessful applicants will be informed of the outcome and offered feedback on their application. Final announcements of awards will be embargoed until all further due diligence has been satisfactorily completed.

6 Disclaimer

Applicants should be aware that the Scottish Bus Emissions Abatement Retrofit Programme Phase 4 (BEAR Phase 4) guidance will be reviewed as the programme evolves and therefore may be subject to change. Transport Scotland reserves the right to amend the published guidance during the period of the programme.

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.

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 BEAR Phase 4; 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 Transport Scotland. 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.

7 Change of plans

Should any operator wish to sell, dispose, or repurpose the BEAR retrofitted vehicles within the term of the 5 year commitment following fitment of equipment, operators may write in advance to Scottish Ministers at the following address to request a variation in terms:

lowemissionzonesenquiries@gov.scot

Alternatively, operators may wish to sell or repurpose a BEAR vehicle within the 5 year commitment term to facilitate the earlier adoption of zero emission buses. As a zero emission bus would also deliver the environmental and air quality objectives of BEAR, operators would therefore not be precluded from applying to replace the bus with a zero-emission alternative, or repowering the bus to be zero-emission, or from applying for subsidy to do so. In such cases operators should write to Scottish Ministers at the above address to gain consent in advance of any change taking place.

In the case of applying for subsidy to replace or repower a bus that has previously been retrofitted with BEAR funding, that should be made clear in the application for subsidy. The ScotZEB Challenge Fund bid form includes a section for information about any buses previously retrofitted with BEAR funding and successful bids will require the consent of Scottish Ministers with respect to replacing those buses within the 5 year commitment term.

1. ANNEX 1: Key Points

1.1 Timing

- Applications for funding from the BEAR scheme are open immediately – outcome within 10 working days of last bidding date. Latest bids by 5pm, Thursday 26 August 2020
- BEAR Phase 4 funding is limited to £5.7 million

1.2 Vehicle criteria

- Types of eligible vehicles – Euro 4 or Euro 5 buses and coaches. Must be under 13 years old from point of application
- To be operated in a Scottish LEZ or Scottish AQMA for a minimum of 5 years
- Must be owned by the operator for at least 12 months prior to application

1.3 Technology

- Retrofitted technology should be CVRAS approved and take buses to Euro VI standard or better for buses and coaches. The accepted technologies are:

- Selective Catalytic Reduction Traps to reduce diesel emissions
- E-fans to reduce fuel consumption
- Hybrid drive conversions
- Electric drive conversions
- Gas engine conversions
- New technology types.

1.4 Commitments

- Needs to be used for a minimum 5 years in a LEZ/AQMA area in Scotland
- Data to be supplied quarterly of daily on-board telematics through an online portal, daily mileage, GPS tracking, daily AdBlue usage and fuel usage.
- Retrofitted equipment needs to be maintained and kept in good working order
- AdBlue tanks need to be regularly refilled where needed by the equipment so the tanks do not run out of AdBlue.

1.5 Funding

- Aligned with EC State Aid rules, eligible capital costs can be grant funded up to 100% funding by de minimis (capped at 200,000 euros); or revised State aid terms (14 May 2020) of up to 95% funding towards eligible costs
- Bids are capped at £1.995 million per applicant for BEAR Phase 4, and at £19,000 average grant per bus/coach per applicant for SCR fitments.
- Grant funding is only going to be paid after successful completion of installation , evidence of successful in-service emissions reduction, and receipt of invoice from chosen supplier.

1.6 Eligible costs

- Equipment and installation of NOx and PM abatement technology
- Warranty specifically relating to the retrofitted equipment (Minimum 5 years)
- Telematics and data specifically relating to the retrofitted equipment (Minimum 5 years)

2. ANNEX 2: State aid checklist

This checklist will be used by Transport Scotland 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 6.1)	Yes	No	
1	Has the applicant or any partner declared it is involved in an economic activity on the project?			If Yes, refer to Point 5 If No, refer to Point 2
2	If the applicant has declared No - Are you are satisfied that the applicant or any partner is not an undertaking?			If Yes, refer to Point 3 If No, refer to Point 4
3	If you are satisfied that the applicant or any partner is not an undertaking there is no need to assess the measure for State aid at this level.			Note – Please consider Beneficiary of project and complete State aid Checklist at this level to determine whether State is present.
4	Has the applicant provided sufficient evidence to support the response?			If Yes, refer to Point 5 If No, seek further information from Applicant
5	Has the applicant applied the 4 State aid tests and determined the possible presence of State aid?			If Yes, refer to Point 6 If No, refer Applicant to SG state aid guidance and ask them to apply the 4 state aid tests and provide the result of this assessment
6	Has the applicant declared whether there is any State aid present?			If Yes, refer to point 8. If No, refer to point 7.
7	Has the applicant explained how the project activities have been assessed against the four State aid tests and provided evidence to support a finding of 'No State aid'?			If Yes, refer to point 9. If No, request applicant provides this evidence in order to proceed with application.
8	Has the applicant made an assessment of whether the State aid present is compliant under the appropriate State aid scheme?			If Yes, refer to Point 10 If No, request Applicant does this and provides evidence to confirm findings
9	Complete State aid Compliance template			Once project has been approved and Grant Award letter issued insert details of project onto BEAR Programme project tracking spreadsheet for monitoring and State aid review.
10	Check that the State aid Article selected is appropriate and advise applicant of the relevant aid intensity applied to total project costs and confirm whether applicant wish to proceed with application/project.			If Yes, refer to Point 9 If No, application should be withdrawn

3. ANNEX 3: Scoring framework

The following scoring framework will be used to assess applications. There are six project impact criteria that will be scored out of five, with a 'value for money' score out of 10. The total score for a project will be out of 40:

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.

Project Impact Criteria – Project Rationale & Strategic Fit			
Key Question	What will assessors consider	Score	Comments and justification
Does the proposed project fit with the strategic aims of BEAR Phase 4? Will the proposed project contribute to NOx and PM emissions in AQMA's/LEZ's?	How does the project rationale align with the BEAR Phase 4 aims? I.e. has the application demonstrated how the project will reduce NOx and PM emissions? How long are chosen vehicles to be employed following retrofit?	/10	

Project Impact Criteria – Deliverability			
Key Question	What will assessors consider	Score	Comments and justification
Can the project be delivered within six months ?	Project Management Does the application provide realistic costs, targets and timeframes for delivery? Have appropriate milestones have been identified and target dates set? E.g. can retrofitting be completed by 31 March 2022? Have risks been identified and assessed? Ownership and permission Are there any ownership issues and lease agreements in place that might affect the delivery of the project? E.g. an operator leasing vehicles Organisational capacity Does the applicant demonstrate it has the capacity required to deliver the project, and the on-going reporting commitments? E.g. can vehicles be taken off the road to enable retrofitting without impact to service delivery? Community benefits Are there wider benefits in the delivery of the project ?	/10	

Project Impact Criteria – Emissions reduction			
Key Question	What will assessors consider	Score	Comments and justification
Does the applicant organisation provide data on number of weekly entries into AQMA's/LEZ's by the vehicles for which grant funding has been applied for?	Does the data on the number of weekly AQMA/LEZ entries indicate that vehicle retrofit would have an appreciable impact on emissions on identified bus routes? What degree of reduction in emissions is likely given the choice of technology for the retrofit?	/10	

Project Impact Criteria – Finance			
Key Question	What will assessors consider	Score	Comments and justification
Is this project financial viable? **Is the lead applicant organisation financially viable?**	Has the application demonstrated eligibility for the requested grant funding? (Pass/Fail) Is project expenditure realistic? Does the application provide sufficient evidence to justify requested grant funding? Is the applicant financially viable? Are there any risks to the viability of the lead applicant organisation? The average amount of award across the total bid per bus will be scored also from 1-10, with lower cost grants per bus receiving the higher score. This number will be multiplied by the score for emissions reduction and divided by ten to give a 'value for money' score.	/10	

Total Score	**/40**

4. ANNEX 4: Example Case Paper

Case Paper: [Ref # – Project title]

Applicant	[Applicant name]	**No. vehicles applied for**	[Number]
Type of organisation	[Licenced public transport operator/Licenced Community Transport Operator, etc.]	**Technology installed**	[SCR/DPF, etc.]
Local authority area(s), AQMA(s) and bus route(s)	[Details of local authority area(s) and AQMA(s) within which vehicles operate and route(s) vehicles identified for retrofit operate]	**RAG rating**	***Green***
		Score	**32/40**
Project overview	[From Project Summary section of application form]		

Assessor's Comments

[This is where the assessor provides an overall view of the project, including any particular issues or risks that the Assessment Team should discus. 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
Applicant	✓			[If partial or no, provide explanation]
Vehicle(s)	✓			
Measures	✓			

Fund requirements	YES	NO
Does the application vehicle and monitoring requirements ?	✓	
Does the application provide a breakdown and evidence of costs?	✓	

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 State aid Article being selected and relevant aid intensity applied to total project costs.]

Project impact criteria	Score	Comment and justification
Project rationale	/5	
Deliverability	/5	
Emissions reduction	/5	
Additionally	/5	
Deliverability	/5	
Finance	/5	
Value for Money	/10	
Total	***/40***	

5. ANNEX 5: Conflict of interest procedure

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

Members of the BEAR programme Phase 4 Assessment Team 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 Team. 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 Transport Scotland, and this will only be under specific circumstances (e.g. beneficial stakeholder linking between two projects).

When members receive the list of BEAR programme Phase 4 applications, they must first review the projects listed and identify if you have any potential conflicts of interest at the following three levels:

- They are directly involved in an application, either as the project lead, or as a project partner.
- Their organisation is involved in an application, either as the project lead, or as a project partner.
- 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 Transport Scotland prior to the Assessment Team meeting.

During the Assessment Team meeting, when each project is discussed, Transport Scotland will review the submitted conflict of interest statements from each Assessment Team member. Any Assessment Team 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. If a conflict of interest is identified as being potentially commercially sensitive in nature, discussion will take place without the Assessment Team member being present.

Assessment Team members will be asked to complete and return the following conflict of interest statement when they have reviewed the list of applications to lowemissionzonesenquiries@gov.scot

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

6. ANNEX 6: Scotland's Air Quality Management Areas

Details of all of Scotland's current AQMA's are summarised below. Further details and maps can be found on the Scottish Air Quality website: http://www.scottishairquality.co.uk/laqm/aqma.

Local authority	AQMA	Declared for	Description
Aberdeen City Council	Aberdeen City Council City Centre AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	Market St, Union St, King St (between Castle St and Roslin Terrace), Virginia St, Commerce St, Guild St, Bridge Street, Holdburn Street (between Great Southern Road and Union Street), Victoria Road, Torry (between Queen Elizabeth II Bridge and Crombie Road) and West North Street (King Street to 100m north of junction with Littlejohn Street).
	Aberdeen City Council Anderson Drive AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	All of Anderson Drive from the Bridge of Dee, including Haudigan Roundabout. Part of Great Northern Road, from 815 Great Northern Road to Auchmill Road. Part of Auchmill Road, from Great Northern Road to the junction with Howes Road.
	Aberdeen Wellington Road AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	Wellington Road Air quality Management area for Nitrogen Dioxide (NO_2) and Particulates (PM_{10}).
City of Edinburgh Council	Edinburgh AQMA No.1 - Centre	Nitrogen Dioxide (NO_2)	An area covering the city centre, including the main link roads in to the city centre. This extended AQMA includes the area known as and forming London Road, the area comprising Grassmarket and Cowgate and Georgie Road.
	Edinburgh - Glasgow Road	Nitrogen Dioxide (NO_2)	Section of the A8 Glasgow Road from Newbridge Roadabout extending east.
	Edinburgh AQMA No.2 - St Johns Road	Nitrogen Dioxide (NO_2)	An area encompassing St John's Road Edinburgh from just east of the junction with the B701 to just east of the junction with Kaimes Road.
	Great Junction Street AQMA	Nitrogen Dioxide (NO_2)	Great Junction Street and its junction with Ferry Road and that part of Ferry Road to Largo Place/Madeira Street, Edinburgh.
	Edinburgh - Inverleith Road	Nitrogen Dioxide (NO_2)	Comprising the junction of Ferry Road and Inverleith Row, that part of Ferry Road extending west from the junction for 76 m to and including the junction with Inverleith Avenue, the section of Ferry Road extending eastwards from the junction for 112 m to beyond the junction with Monmouth Terrace and the section of Inverleith Row extending south from that junction to and including its junction with Goldenacre Terrace.
	Edinburgh -	Particulate Matter <	Section of the A199 including Salamander Street, Baltic street, Bernard Street and

	Salamander Street	10 µm	part of the Seafield Road; and an area to the north east as far as the East Sand of Leith and south of Baltic Street, extending to Queen Charlotte Street and Links Place.
Dundee City Council	Dundee AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area encompassing the whole of the local government area of the City of Dundee is designated in relation to breaches and likely breaches of the Nitrogen dioxide annual mean air quality objective, the Nitrogen dioxide hourly mean air quality objective and the PM10 annual mean air quality objective.
East Dumbartonshire Council	Kirkintilloch Road AQMA - Bishopbriggs	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area encompassing a 60m wide corridor along the A803 Kirkintilloch Road, Bishopbriggs between the council's border with Glasgow city and a point 30m north of Cadder Roundabout.
	A809 AQMA - Bearsden	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	The designated area incorporates a 60 metre wide corridor along the A809 to the junction with Antonine Road and to the south beyond Canniesbun Toll to incorporate several road junctions. The eastern boundary is to the east side of Roman Road Car Park with a small section of Stockiemuir Road also incorporated. A map of the area may be viewed at the Council Headquarters, Tom Johnston House, Kirkintilloch and at Planning.
East Lothian Council	East Lothian AQMA	Nitrogen Dioxide (NO_2)	The area incorporates High Street, Musselburgh (A199) from its junction with Newbigging and extending westwards to the junction with Bridge Street and Mall Avenue.
Falkirk Council	Grangemouth AQMA	Sulphur Dioxide (SO_2)	An area encompassing Grangemouth petrochemical complex and adjacent areas.
	Haggs AQMA	Nitrogen Dioxide (NO_2)	An area encompassing parts of Banknock and Haggs around the junction of the A803 and M80.
	Falkirk Centre AQMA (Annual Mean)	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area encompassing part of Falkirk Town Centre.
	Banknock PM10 AQMA	Particulate Matter < 10 µm	The designated area includes an area of Banknock.
Fife Council	Bonnygate AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area of central Cupar centred on Bonnygate (A91).
	Appin Cresent AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	The designated area incorporates Applin Cresent (A904), continuing into Halberth Road and adjacent properties on the north side from and including 60 Appin Crescent to and including 14 Halberth Road, and on the South side from and including 71 Appin Crescent to and including 7 Halbeath Road, Dunfermline.

Glasgow City Council	Glasgow City Centre AQMA	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area encompassing Glasgow City Centre.
	Parkhead Cross AQMA	Nitrogen Dioxide (NO_2)	An area encompassing Parkhead Cross junction and parts of the streets leading into it and the properties fronting on to the streets.
	Byres Rd/Dumbarton Rd AQMA	Nitrogen Dioxide (NO_2)	An area encompassing properties along either side of Byres Road and Dumbarton Road, and along some of the streets running off them.
Highland Council	Inverness City Centre AQMA	Nitrogen Dioxide (NO_2)	The area incorporates 6 Queensgate and 62 Acadamy Street, Inverness.
North Lanarkshire Council	Coatbridge AQMA	Particulate Matter < 10 µm	An area of Coatbridge, extending along Whiflet Street and North Road and encompassing buildings fronting the road.
	Chapelhall AQMA	Particulate Matter < 10 µm	An area of Chapelhall extending along Main Street, Bellside Road and Lauchope Street and extending to cover a number of properties close to the junctions of these roads.
	Motherwell AQMA	Particulate Matter < 10 µm	An area encompassing part of the centre of Motherwell to the north of the civic centre in the vicintiy of Merry Street, Menteith Road and Airbles Road.
	Croy AQMA	Particulate Matter < 10 µm	An area of Croy encompassing the town and Croy Quarry.
Perth & Kinross Council	Perth AQMA	Particulate Matter < 10 µm, Nitrogen Dioxide (NO_2)	Particulate Matter < 10 µm, Nitrogen Dioxide (NO_2)
	Perth AQMA No. 2 - Crieff	Particulate Matter < 10 µm, Nitrogen Dioxide (NO_2)	The area incorporates the point at the Y-Junction at Perth Road and Dollerie Terrace, follow the A85 east to East High Street, the Cross, High Street, James Square then on to West High Street stopping at the junction of Galvelmore Street and Lodge Street and north up Comrie Street to the Y-Junction at Coldwells Road and midpoint of Comrie Street. The AQMA area will take in the whole of the buildings along East High Street/High Street/West High Street and Comrie Street.
Renfrewshire Council	Paisley Town Centre AQMA (amended)	Nitrogen Dioxide (NO_2), Particulate Matter < 10 µm	An area encompassing a large part of central Paisley and extending a short distance along some radial roads.
	Johnstone AQMA	Nitrogen Dioxide (NO_2)	From the junction of High Street and Peockland Place; thence along High Street to the junction of Barrochan Road and Napier Street.
	Renfrew Town Centre AQMA	Nitrogen Dioxide (NO_2)	From the junction of Paisley Road, Inchinnan Road, Hairst Street and Glebe Street; thence along Glebe Street to property number 4 Glebe St; thence along Paisley Road to the junction of Donaldson Drive; thence along Inchinnan Road to the

			junction of Longcroft Drive; thence along Hairst Street to the junction with Canal Street and High Street; thence along Canal St to the junction with Ferry Road.
South Lanarkshire Council	Whirlies Roundabout AQMA	Particulate Matter < 10 µm	An area around the Whirlies Roundabout, East Kilbride between the A725, A749 and B783, and extending along all the roads leading in to the roundabout.
	Rutherglen AQMA	Particulate Matter < 10 µm	An Area encompassing all areas of Rutherglen is designated in relation to breaches and likely breaches of the PM10 24 hour and annual mean air quality objectives.
	Lanark AQMA	Nitrogen Dioxide (NO_2)	An Area encompassing the whole of the town of Lanark is designated in relation to breaches and likely breaches of the Nitrogen dioxide hourly mean and annual mean air quality objectives.
West Lothian Council	West Lothian AQMA - Broxburn	Particulate Matter < 10 µm, Nitrogen Dioxide (NO_2)	The area incorporates West Main Street eastwards from, but not including the junction with School Road, Buchan Lane (part), Station Road (part), Greendykes Road (part), Strathbrock Place (part), East Main Street, Primrose Court (part), Easter Road (part), Dunnett Way (part), Hunter Gardens, A89 eastwards from Hunter Gardens to western boundary of service station, Broxburn.
	West Lothian AQMA - Linlithgow	Particulate Matter < 10 µm, Nitrogen Dioxide (NO_2)	The designated area incorporates Linlithgow, Linlithgow Bridge and land presently allocated for development in the present West Lothian Local Development Plan Proposed Plan.
	West Lothian AQMA - Newton	Particulate Matter < 10 µm	The designated area incorporates all of Newton.

Version Control				
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