**Scottish Industrial Energy Transformation Fund (SIETF) – 3rd call for projects - 2022-23**

**Application form for capital funding to support options appraisals**

**Note: please refer to other form for feasibility or FEED studies**

To help you complete the application form please read the SIETF Guidance Notes, provided separately online. You must confirm on part 7 of this application form that you accept the terms and conditions of this application and that you have read and understood the privacy policy. Further information on the handling of personal data can be found in Appendix 1. Please submit complete applications to: [sietf@gov.scot](mailto:sietf@gov.scot) by 17:00 on 18th November 2022.

To avoid delays in processing your application, please ensure that you answer every question within each part of this form and submit all supporting documentation. Help notes to assist you in completing the application are included and referred to throughout the application.

On this application form please stay within the word count indicated for:

* Section 3.2 Project Summary
* Each part of section 5

# SIETF 3rd call – options appraisals

# Part 1 – Lead Organisation

|  |  |
| --- | --- |
| **PART 1** | **Lead Organisation** |
| 1.1 Name of lead organisation |  |
| 1.2 Head office address |  |
| 1.3 Companies House Number |  |
| 1.4 Town/city |  |
| 1.5 Postcode |  |
| 1.6 Local Authority area |  |
| 1.7 Contact name |  |
| 1.8 Job title/position |  |
| 1.9 Telephone number |  |
| 1.10 Email |  |
| 1.11 Website |  |
| 1.12 Type of organisation | Not for Profit  Private Company  Public Limited Company  Public Sector Organisation  Research Organisation  University  Other |
| 1.13 Standard Industrial Classification (SIC) code | Your company SIC code should be 5 characters long. This can be found on Companies House. If you have multiple SIC codes please refer to the one most relevant to your current application. **Refer to the guidance to ensure you have an eligible SIC code.** |
| 1.14 What is your organisation’s main business activity? |  |
| 1.15 Is your organisation VAT registered? If so, please provide the VAT Registration no. |  |
| 1.16 How many Full Time Equivalent (FTE) employees do you currently have? | Please provide the number of FTE employees (if available): \_\_\_\_\_\_\_\_\_\_\_\_\_\_  Zero  1 to 10 employees  1 to 50 employees  51 to 250 employees  more than 250 employees |
| 1.17 What is your most recent (audited where applicable) annual turnover? | £ Financial Year: Audited:  Yes  No  Please provide your most recent annual turnover and the financial year it applies to (to be taken from your audited accounts where available).  Note: In the event that the organisation has been trading for less than a year or does not produce audited accounts, please provide the information from non-audited or management accounts. Please state the reason why audited accounts are not available. |

# Part 2 – Partner Details (if applicable)

|  |  |  |  |
| --- | --- | --- | --- |
| **PART 2** | **Partner Details (if applicable**) | | |
|  | Partner 1 | Partner 2 | Partner 3 |
| 2.1 Name of partner organisation(s) |  |  |  |
| 2.2 Address |  |  |  |
| 2.3 Town/city |  |  |  |
| 2.4 Postcode |  |  |  |
| 2.5 Local Authority area |  |  |  |
| 2.6 Contact name |  |  |  |
| 2.7 Job title/position |  |  |  |
| 2.8 Telephone number |  |  |  |
| 2.9 Email |  |  |  |
| 2.10 Website |  |  |  |
| 2.11 Type of organisation | Not for Profit  Private Company  Public Limited Company  Public Sector Organisation  Research Organisation  University  Other | Not for Profit  Private Company  Public Limited Company  Public Sector Organisation  Research Organisation  University  Other | Not for Profit  Private Company  Public Limited Company  Public Sector Organisation  Research Organisation  University  Other |
| 2.12 What is the partner’s main business activity? |  |  |  |
| 2.13 How many Full Time Equivalent (FTE) employees does partner currently have?  Please provide the actual number of FTE employees (if available) | Actual no.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_  Zero  1 to 10 employees  11 to 50 employees  51 to 250 employees  more than 250  employees | Actual no.: \_\_\_\_\_\_\_\_\_\_\_\_  Zero  1 to 10 employees  11 to 50 employees  51 to 250 employees  more than 250 employees | Actual no.: \_\_\_\_\_\_\_\_\_\_\_\_  Zero  1 to 10 employees  11 to 50 employees  51 to 250 employees  more than 250 employees |
| 2.14 What is the partner’s most recent (audited where applicable) annual turnover? | £  Financial Year:  Audited: Yes No | £  Financial Year:  Audited: Yes No | £  Financial Year:  Audited: Yes No |
| 2.15 What is the partner’s role in the project? |  |  |  |
| 2.16 i) Describe the current contractual relationship (if any) between the partners  ii) Describe any proposed contractual relationship or delivery vehicle that you are intending to put in place to deliver this project |  |  |  |

Part 3 – Study Details

|  |  |
| --- | --- |
| **PART 3** | **Study Details** |
| Building a picture | To help us understand the reasons why you are applying for support, please provide key details of the project. |
| 3.1 Project title |  |
| 3.2 Study Summary  Please provide a brief summary of the project clearly describing your vision?  (max 250 words)  Please include a copy of any existing feasibility studies, if applicable. | State here the aims of your appraisal, how these fit with the aims of the SIETF guidance to develop energy efficiency and deep decarbonisation projects for subsequent detailed design and deployment.  Give clear, measurable objectives through which you intend to achieve the successful delivery of the aims, and how the expected outcomes (written or otherwise) may to lead towards deployment on site. |
| 3.3 Study Location  Please provide the postcode(s) of site or area(s) where the industry is located for which this study will be carried out | If you don’t have a postcode please provide a full address  Postcode:  If unsure of local authority area of the project, use: [Find your local council - GOV.UK (www.gov.uk)](https://www.gov.uk/find-local-council) |
| 3.4 Key Dates  Please provide confirmation that you will be able complete your project by 31 March 2024\* | Study start date: Click here to enter a date.  Study end date: Click here to enter a date.  \*This call may consider approaches from studies that are within eligible scope but may not be fully delivered by this date. Please contact [SIETF@gov.scot](mailto:SIETF@gov.scot) to discuss prior to making an application. |

Part 4 – Funding

|  |  |
| --- | --- |
| **PART 4** | **Funding** |
| 4.1 Appraisal Costs  Please provide the breakdown of anticipated costs, net of VAT. | TOTAL: £   | **Detail of the Cost** | **Amount** | **% of total capital cost** | | --- | --- | --- | |  | £ |  | |  | £ |  | |  | £ |  | |  | £ |  | | TOTAL | £ | 100% | |
| 4.2 Funding History  Please list other sources of funding that your organisation **has received in the last 3 years.** This includes any Government Agency, Local Authority, or Public Body. | **Source:**    **Funding Amount (£):**    **Date (month/year) of award:**  **Subsidy control status:** |
| 4.3 Support History  Have you ever been a proprietor, partner or director of a business which have applied for any financial incentives to increase the uptake of renewable heat and/or electricity under any Government scheme?  This includes any other partner in the application. | For example, Non-Domestic Renewable Heat, Renewable Obligation or other environmental programmes. |
| 4.4 SIETF Support Requested  This award offers up to 70% of the total eligible costs of the feasibility or engineering study.  Please indicate the anticipated SIETF support requested for your project. | |  |  |  | | --- | --- | --- | | **Project work packages** | **Work package detail** | **Total anticipated cost** | | financial / commercial expertise |  |  | | technical expertise |  |  | | legal expertise |  |  | | project management |  |  | | other - please state: |  |  |   TOTAL SIETF SUPPORT BEING REQUESTED: £\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4.5 Other contributions to this project.  Please indicate all other match funding and/or support that you have secured or are providing for this project.  All public sector funding must be listed for subsidy control purposes | What activity is being funded?:    Amount (£) of finance secured:    Funder:  Sector (public/ private/ community):  Level of commitment offered at this time(e.g. MOU/ agreement in principle/ signed commercial contract/other):  **Total match funding secured/to be provided:**  **£\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| 4.6 Alternative funding sources.  Please indicate if you have or intend to apply for funding elsewhere for this project. |  |

PART 5: Assessment

|  |  |
| --- | --- |
| **5.1 Study overview, deliverability and risk**  20%  (max. 500 words) | Please:  Give an overview of the objectives of this appraisal.  Explain how this appraisal fits within existing corporate plans, route-maps or strategies (preferably published documents) that progress towards net-zero, with reference to scale and timeline.  How is this additional to what would take place without SIETF funding? Outline why you are not able to wholly fund this work from your own resources or other forms of private-sector funding, such as loans.  Describe the delivery plan (e.g. Gantt chart), including work packages and deliverables, and project management strategy.  Give details of any partners and sub-contractors who you will work with and how they will be managed. If using subcontractors from overseas please explain why you could not use UK suppliers.  Describe roles, skills and experience of key team members of the team (company staff and contractors)  Describe key risks, evaluate size of risks, the likelihoods and associated mitigation actions (technical, commercial, project etc.). |
| **5.2 Technical feasibility**  20%  (max. 500 words) | Please:  Give an overview of the technologies to be explored. This must include details of the two most feasible options appraised (Note, it is preferable for options to be limited to those with credible pathways towards deployment)  Describe or explain the justification for identified options and evidence of that each is scientifically or technically feasible,  Describe or explain the current TRL of options  Describe or explain the nature of your expected outputs. Examples could include a report that recommends a favoured option (to lead to a front-end engineering design study), based on evidence that the appraisal will examine.  Describe or explain barriers to deployment of the technology options that must be overcome. Make reference to how you will address financial modelling and commercial matters.  What internal processes would have to be overcome?  Do you foresee potential negative impacts if option(s) were to be deployed in the future? |
| **5.3 Potential for future carbon / energy benefits**  20%  (max. 500 words) | This section assesses potential emission savings and/or energy savings. You will be scored based on credibility of emissions reduction claims and/or energy saving reduction, including realism of assumptions . Reference to existing operational energy data or modelling of the site is likely to score higher, albeit detail of energy or carbon modelling may be developed within your appraisal.  Please:  Provide an estimate of:  - scale or range of emissions savings in tCO2e  - predicted changes to energy use in MWh  - (if possible) - predicted fuel bill savings in £.  Note that estimates should relate to a counterfactual scenario (i.e. ‘business-as-usual’) and valid studies of options for larger carbon-intensive processes are likely to score more highly.  Explain the above with reference to the technological options described in 5.2  Describe or explain how this project goes above and beyond any existing energy and carbon reduction commitments.  Describe or explain how your concept aligns with the Scottish Government's commitment to reach net zero by 2045, and any site, sector or corporate decarbonisation plans. |
| **5.4 Study costs and value for money**  15%  (max. 300 words) | In this section, please add additional justification for costs of your appraisal and say how you have minimised them to ensure that your proposal provides the best possible value for money for the taxpayer.  Give further detail on how costs have been estimated and if these are budget or firm quotations. If competitive quotations have been received then describe the selection rational.  Explain the steps you have taken to minimise costs to ensure that this study represents value for money. |
| **5.5 Additionality and need for SIETF support**  How is this study additional to what would have taken place without SIETF funding?  15%  (max. 300 words) | Please describe or explain:   * what would happen without SIETF funding * the impact that SIETF support will have on the scale, timeline, expertise and delivery * why you are not able to wholly fund the study from your own resources or other forms of private-sector funding (such as loans). |
| **5.6 Replicability**  10%  (max. 300 words) | Please describe or explain:   * how your appraisal could be replicated by others in the sector * how the technologies under consideration could be adopted in other sites or sectors * any measures you intend to take to encourage findings to be relevant to decarbonisation projects outside your organisation * how results will be disseminated to others |

\*charts or graphs may be additional to section word counts

PART 6: Fair Work First

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| --- | --- |
| **FAIR WORK FIRST** | |
| 6.1 Please provide a brief summary of how your working practices align with the Fair Work First.  (max 500 words) | Please show how your company applies the Fair Work First criteria in practice.   * Appropriate channels for effective voice, such as trade union recognition * Investment in workforce development * No inappropriate use of zero-hours contracts * Action to tackle the gender pay gap and create a more diverse and inclusive workplace. * Payment of the real Living Wage * Offer flexible and family friendly working practices for all workers from day one of employment. * Oppose the use of fire and rehire practice employment |

PART 7: Declaration and Understanding

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Have you, or any other partner or director of your business, ever been disqualified from being a company director under the Company Directors Disqualification Act (1986) or been the proprietor, partner or director of a business subject to an investigation (completed, current or pending) undertaking under the Companies, Financial Services or Banking Acts? |  |  |
| If **YES**, please give details on a separate sheet of paper. This does not necessarily affect your chances of obtaining SIETF support. |  |  |

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Have you, or any other partner or director of your business, ever been bankrupt or subject to an arrangement with creditors? |  |  |
| If **YES**, please give details on a separate sheet of paper. This does not necessarily affect your chances of obtaining SIETF support. |  |  |

|  |  |  |
| --- | --- | --- |
|  | **Yes** | **No** |
| Have you, or any other partner or director of your business, ever been a proprietor, partner or director of a business subject to any formal insolvency procedure such as Receivership, Liquidation, Administration or was subject to an arrangement with its creditors? |  |  |
| If **YES**, please give details on a separate sheet of paper. This does not necessarily affect your chances of obtaining SIETF support. |  |  |
|  |  |  |
|  | **Yes** | **No** |
| Have you, or any other partner or director of your business, ever been a proprietor, partner or director of a business requested repay a grant under any Government scheme? This includes any company requested to pay grant while subject to any insolvency procedure, where the director/company secretary knew or ought reasonably to have expected that any request to pay grant could be made? |  |  |
| If YES, please give details on a separate sheet of paper. This does not necessarily affect your chances of obtaining SIETF support. |  |  |

PART 7: Checklist

Please confirm you have provided all the relevant **mandatory** supporting documentation using the checklist below:

|  |  |
| --- | --- |
| Have you completed all the questions on the Application Form? |  |
| Have you enclosed/attached the following **mandatory** documents: | |
| Documentation evidencing the project partnership and planned delivery vehicle |  |
| Confirmation of match funding |  |
| Documentation relating to the confirmation of project site location |  |
| A detailed delivery programme for anticipated activity |  |
| Detail of delivery team including identified Project Manager and CVs of key personnel |  |
| Confirmation of the Procurement Route selected and associated timelines |  |
| A risk register identifying the risks to delivery of the programme |  |
| It is advisable to include this additional information to support the project proposal:   * feasibility study * financial model * proposed monitoring and evaluation approach – i.e. how outcomes/benefits will be captured and recorded? |  |

Declaration – Please read this carefully before signing

I/we understand that if I/we give information that is incorrect or incomplete, grant may be withheld or reclaimed and action taken against me/us. I/we declare that the information I/we have given on this form is correct and complete.

I/we understand that the SIETF partner organisations; The Scottish Government, Scottish Enterprise Highlands and Islands Enterprise, Scottish Futures Trust, Resource Efficient Scotland and other associated bodies such as, technical consultants and agents collectively referred to as “the Agencies”, will use the information that I/we provide on this application form to assess my/our suitability for support. I/we understand if my/our application is successful, the Agencies will use the information provided in this application form for administration and management purposes, including carrying out appropriate checks, audits and marketing. Your details may also be passed to auditors for administrative purposes.

I/we understand that any offer may be publicised by means of a press release giving brief details of the project and the grant amount.

I/we understand that should support be awarded, I/we must actively engage with SIETF to develop the project and monitor the project’s progress.

I/we agree to accept the final decision of the SIETF Evaluation Panel in respect to this application.

**Acceptance of terms and conditions**

* The information I have provided is accurate and true to the best of my knowledge.
* I have provided all of the relevant mandatory supporting information as detailed in Part 7.
* I have read, and agreed to, the rules as outlined above, and accept the terms and conditions.
* Privacy Policy – you can find the privacy policy at Appendix 1

**I have read and understood the privacy policy**

Signatory one: This section should be completed and dated by the primary contact person named in Part 1, Question 1.6.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | | |
| Name (printed) |  | | |
| Position |  | | |
| Organisation |  | Date |  |

**Counter signing senior officer:**

Signatory two: This should be the senior person in your organisation who is authorised to approve the application on behalf of the organisation e.g. the chair, chief executive or person of similar authority in your organisation.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | | |
| Name (printed) |  | | |
| Position |  | | |
| Organisation |  | Date |  |

Appendix 1

Scottish Government privacy policy

The Scottish Government seeks to ensure that the data gathered through this application form is fairly and lawfully processed in accordance with Data Protection Laws as detailed under the Data Protection Act 2018 (DPA). Any personal data collected through this application will be treated as confidential in line with the principles of the Data Protection Laws. For the purposes of SIETF, Article 6(1)(b) of the General Data Protection Regulation (GDPR), will apply.

“Data Protection Laws” means any law, statute, subordinate legislation, regulation, order, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements of any regulatory body including the Data Protection Act 1998, the Data Protection Act 2018 and any statutory modification or re-enactment thereof and the GDPR. [www.privacy-regulation.eu/en/6.htm](http://www.privacy-regulation.eu/en/6.htm)

We will use the information provided to process and assess your SIETF application. Processing the information is obligatory in order to fully assess your application before a funding decision can be made.

The SIETF is a partnership between Scottish Government, Scottish Enterprise, Highlands and Islands Enterprise, Scottish Futures Trust and Resource Efficient Scotland. We may share the information you provide with other Scottish Government departments and the partner organisations listed above for the management of any potential SIETF project support. The information we share with the above organisations will be used in a number of ways, for example:

* evaluation of project eligibility
* administering and monitoring project development and support needs
* auditing compliance
* research and statistical analysis

The information supplied may be used to accelerate the development of future projects. Any data shared will refer to the business only, and no individual employee data will be shared. The Scottish Government may include on its website in the public domain the amount of any support offered to your project through this programme.

Though we make every effort to preserve user privacy, we may need to disclose personal information when required by law that such action is necessary to comply with a current judicial proceeding, a court order or legal process. We have a duty to protect the public funds we handle, and we may use the information you have given on this form to prevent and detect fraud.

Third Party Intermediaries  
We may use an outside contractor to provide procured support to the project and/or undertake due-diligence as well as our appointed independent client engineer.

Document Retention

The SIETF is required to provide returns to the UK Government detailing aid provided under this scheme, and to maintain detailed records regarding individual aid provided under the scheme. Such records must contain all information necessary to establish that the conditions laid down in the Regulation are fulfilled. This includes information on the status of any undertaking whose entitlement to aid or a bonus depends on its status as an SME, information on the incentive effect of the aid, and information making it possible to establish the precise amount of eligible costs for the purpose of applying the Regulation. Records must be maintained for 10 years from the date on which the last aid was granted under the scheme, in this case until at least 31 December 2034. The information which must be provided to the Low Carbon Infrastructure Transition Programme / retained by the aid recipient will be set out in the Offer of Grant.

SIETF will not retain unsuccessful applications beyond the purposes and timescale of application process.

The Scottish Government cannot be held responsible for the contents of any pages referenced by an external link. Please be aware that we, the Scottish Government, are not responsible for the privacy practices of such other sites. We encourage applicants to be aware when they leave our site and to read the privacy statements of each and every Website that collects personally identifiable information. This privacy statement applies solely to information collected by this form.

**Contact Information**

If applicants have any questions regarding our privacy policy, please contact us at:   
   
Email: [sietf@gov.scot](mailto:sietf@gov.scot)