

Information Requested

All correspondence between the Scottish Government, Crown Estate and Marine Scotland relating to due diligence checks conducted on ScotWind project partners involved in the successful applications on 17 January 2022

Response

Enclose a copy of the material you have requested. While our aim is to provide information whenever possible, in this instance certain information has been redacted under multiple sections of the EIRs. Further information regarding these sections can be found in the Annex of this letter.

[REDACTED]

From: [REDACTED]
Sent: 21 June 2022 11:45
To: [REDACTED]
Subject: FW: Parliamentary Question - ScotWind and Russia Draft Lines

Hi [REDACTED]

This is the only correspondence I have found in my inbox that may come into scope.

Thanks
[REDACTED]

From: [REDACTED]@crownestatescotland.com>
Sent: 10 March 2022 13:49
To: [REDACTED]@crownestatescotland.com>; [REDACTED]@gov.scot>
Cc: [REDACTED]@crownestatescotland.com>; [REDACTED]@crownestatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@crownestatescotland.com>; [REDACTED]@gov.scot>
Subject: RE: Parliamentary Question - ScotWind and Russia Draft Lines

Hi [REDACTED]

Please see our line below.

Best wishes, [REDACTED]

Statement regarding ScotWind Leasing and Russia's invasion of Ukraine

In relation to ScotWind, the recent leasing round for commercial-scale offshore wind projects, the 17 successful applicants are mainly consortia of different project partners.

Crown Estate Scotland is committed to taking all appropriate action to not support trade and investment activity with Russia.

In early March, we carried out an initial check of applicants for Russian ownership and / or registration. This did not uncover any Russian ownership or registration.

We have now taken the further step of seeking formal, written assurance from all applicants and project partners involved in each of the 17 applications that they will adhere at all times to the relevant sanctions regime.*

If we do not receive sufficient assurance, we will take appropriate action.

All applicants who secure an option agreement will be required to adhere to relevant sanctions throughout the term of the agreement.

In addition, we have also asked for details of any Russian or Belarussian interests and steps that are being taken to divest of those interests.

We continue to work closely with Scottish Government to ensure we are fully informed and taking appropriate action in what is a rapidly evolving situation.

*Project partners are subject to sanctions imposed by the state in which they are registered. UK registered entities will need to confirm they adhere to UK sanctions. Entities registered in another state will need to confirm that they adhere to the sanctions imposed by that state.

ENDS

From: [REDACTED]@gov.scot [REDACTED]@gov.scot>
Sent: Thursday, March 10, 2022 9:43 AM
To: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>
Cc: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@gov.gov.scot
Subject: RE: Parliamentary Question - ScotWind and Russia Draft Lines

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Morning [REDACTED]

Thanks for letting me know.

Thanks
[REDACTED]

From: [REDACTED]@crownstatescotland.com>
Sent: 09 March 2022 19:38
To: [REDACTED]@gov.scot>; [REDACTED]@crownstatescotland.com>
Cc: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@gov.scot>
Subject: RE: Parliamentary Question - ScotWind and Russia Draft Lines

[REDACTED] – I'm afraid this will be closer to 2pm tomorrow, won't be later than that

Apologies
[REDACTED]

From: [REDACTED]@crownstatescotland.com>
Sent: Tuesday, March 8, 2022 12:46 PM
To: [REDACTED]@gov.scot [REDACTED]@crownstatescotland.com>
Cc: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@gov.scot
Subject: Re: Parliamentary Question - ScotWind and Russia Draft Lines

Acknowledging receipt [REDACTED]

We'll get back to you by your deadline

Best,

Get [Outlook for iOS](#)

From: [REDACTED]@gov.scot [REDACTED]@gov.scot>
Sent: Tuesday, March 8, 2022 12:31:35 PM
To: [REDACTED]@crownestatescotland.com>
Cc: [REDACTED]@crownestatescotland.com>; [REDACTED]@crownestatescotland.com>; [REDACTED]@crownestatescotland.com>; [REDACTED]@crownestatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@gov.scot
[REDACTED]@gov.scot>
Subject: Parliamentary Question - ScotWind and Russia Draft Lines

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Hi [REDACTED]

Hope this email finds you well.

We have received the following Parliamentary Question, with the written response due for submission to Private Office Friday 11th March.

PQ [S6W-07026](#) Michael Marra, North East Scotland. Due 11/03/22

To ask the Scottish Government what analysis has been done, or is planned, on whether any successful applicants to the ScotWind auction have Russian partnerships or financing arrangements in place.

I have drafted lines using the CES statement and update on next steps to [REDACTED] Please could review and let me know if you are content/any amendments by noon Thursday 10th March.

Many thanks

[REDACTED]

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[REDACTED]

From: [REDACTED]
Sent: 15 February 2022 11:55
To: [REDACTED]
Subject: RE: ScotWind PQs

Hi [REDACTED], for note final version that has been submitted to Minister for clearance is as per your amendments below.

Thanks,
[REDACTED]

From: [REDACTED]
Sent: 14 February 2022 16:35
To: [REDACTED]@crownstatescotland.com>
Subject: RE: ScotWind PQs

Thanks [REDACTED] – I have passed these amendments on and will revert to you once final version is agreed.

Best,
[REDACTED]

From: [REDACTED]@crownstatescotland.com>
Sent: 14 February 2022 16:10
To: [REDACTED]@gov.scot>
Cc: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@gov.scot>
Subject: FW: ScotWind PQs
Importance: High

Hi [REDACTED]

Please see additions in caps below and deletions in strike through

Pls let us see final version.

Many thanks, [REDACTED]

From: [REDACTED]@gov.scot>
Sent: Monday, February 14, 2022 12:00 PM
To: [REDACTED]@crownstatescotland.com>
Cc: [REDACTED]@crownstatescotland.com>; [REDACTED]@crownstatescotland.com>; [REDACTED]@gov.scot>; [REDACTED]@gov.scot>
Subject: FW: ScotWind PQs
Importance: High

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Morning [REDACTED]

Thanks for your guidance. To check you are content with the proposed answers below? We are still checking past internal colleagues, so will update you if there are any material changes. Answers will be sent to private office tomorrow so very grateful if you can get back to me by close today please.

Many thanks,
[REDACTED]

S6W-06063 Liam McArthur: To ask the Scottish Government which of its agencies and non-departmental public bodies it expects, in accordance with the document, *Guidance on due diligence: human rights*, to have undertaken human rights checks on organisations that have successfully bid for offshore wind projects under the ScotWind leasing round announced on 17 January 2022.

The ScotWind process is administered by Crown Estate Scotland and therefore Crown Estate Scotland is the body who has the responsibility to undertake all relevant checks.

S6W-06064 Liam McArthur: To ask the Scottish Government whether it or its agencies and non-departmental public bodies have, in accordance with the document, *Guidance on due diligence: human rights*, undertaken human rights checks on organisations that have successfully bid for offshore wind projects under the ScotWind leasing round announced on 17 January 2022.

ScotWind leasing is administered by Crown Estate Scotland who are responsible for completing the process of due diligence in line with any relevant guidance.

Crown Estate Scotland advises that all project partners were required to make a declaration PROVIDING assuring Crown Estate Scotland WITH WRITTEN ASSURANCE that they have not been convicted of unlawful activity in relation to a range of requirements, including aspects such as; corruption, bribery, fraud, and human trafficking AND EXPLOITATION, within the last five years. Only companies providing such assurances were allowed to proceed with bids.

The ScotWind terms and conditions make clear that Crown Estate Scotland reserves the right to void any application which is found to have provided false information. If any companies have been found to have made false declarations on these matters, Crown Estate Scotland will take the appropriate action.

The Scottish Government is clear that both public authorities and private enterprises have a responsibility to ensure human rights are respected and protected in the workplace. Scottish Ministers remain committed to defending the vitally-important legislation which protects human rights in Scotland and in the UK – including both the Human Rights Act 1998 and the constitutional protections built into the Scotland Act 1998.

From: [REDACTED] [crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>
Sent: 10 February 2022 14:40
To: [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>
Cc: [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] [@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>; [REDACTED] [crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>
Subject: FW: ScotWind PQs
Importance: High

Hi [REDACTED]

Please see our below for some lines that may be helpful.

The signed declaration we required from all applicants covers a wide range of activities – please see p51 of the attached – and covers a time period of the five years up to application submission. This 5-year period aligns with SG procurement regulations.

You'll see from the last line below that we take a very firm stance on this.

Hope this helps.

Best wishes, [REDACTED]

CES required all project partners* to make a declaration providing written, formal assurance that they have not been convicted of unlawful activity in relation to a range of requirements, including human rights and a number of other activities, within the last five years. This is consistent with Scottish Government's procurement regulations. Only those companies that provided such assurances were allowed to proceed in the ScotWind leasing. The ScotWind terms and conditions make clear that CES reserve the right to void any application or agreement if false information is found to have been provided, and CES will not hesitate to take the appropriate action if needed.

*For clarity, project partners are listed here

<https://www.crownestatescotland.com/resources/documents/scotwind-list-of-successful-project-partners-170122>

From: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>

Sent: Monday, February 7, 2022 12:41 PM

To: [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>; [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>

Cc: [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>

Subject: ScotWind PQs

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Hi all,

Marine Scotland have received a couple of PQs for answer which I have pasted below – appreciate you may have already received similar questions so your steer on our response is welcome please.

Please can you also confirm if any other agencies or non-departmental public bodies were involved with determining successful bids under ScotWind leasing round?

Many thanks,

[REDACTED]

S6W-06063 Liam McArthur: To ask the Scottish Government which of its agencies and non-departmental public bodies it expects, in accordance with the document, *Guidance on due diligence: human rights*, to have undertaken human rights checks on organisations that have successfully bid for offshore wind projects under the ScotWind leasing round announced on 17 January 2022.

S6W-06064 Liam McArthur: To ask the Scottish Government whether it or its agencies and non-departmental public bodies have, in accordance with the document, *Guidance on due diligence: human rights*, undertaken human rights checks on organisations that have successfully bid for offshore wind projects under the ScotWind leasing round announced on 17 January 2022.



Please note that I am currently working from home – contact me via email

Policy Officer | Crown Estate Strategy Unit | Marine Scotland

Scottish Government | Area 1-B North | Victoria Quay | Edinburgh EH6 6QQ



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From: [REDACTED]
To: [REDACTED]
Cc: [REDACTED]
Subject: RE: Lines for correspondence - ScotWind and SCDS [REDACTED] crownstatescotland.com>
Date: 19 April 2022 15:59:00

Hi both,

Many thanks for the chat earlier.

Please see below the proposed new text:

Following my response of the 22 February 2022, Crown Estate Scotland is responsible for the ScotWind leasing and the selecting process. The 'Guidance on due diligence: human rights' does not apply to the ScotWind leasing round. However, we expect Crown Estate Scotland to follow necessary due diligence as appropriate and that has been made clear to them. As per guidance states: "The detail of what is checked is ultimately a matter of judgement by whomever has initiated the relationship and/or responded to a proposition from a third party and will depend on the circumstances of each case." The due diligence carried out by Crown Estate Scotland was outlined in my answer to question S6W-06064.

Any feedback is welcome.

Thank you,

[REDACTED]

[REDACTED]

Senior Policy Officer – Sectoral Marine Planning
Marine Scotland – Policy and Planning

Scottish Government | Marine Laboratory | 375 Victoria Road | Aberdeen | AB11 9DB

Mobile: [REDACTED]
Email: [REDACTED]@gov.scot

From: [REDACTED] crownstatescotland.com>
Sent: 19 April 2022 11:50
To: [REDACTED] gov.scot>
Cc: [REDACTED] gov.scot>; [REDACTED] crownstatescotland.com>
Subject: RE: Lines for correspondence - ScotWind and SCDS [REDACTED]
[REDACTED]@crownstatescotland.com>

Hi there

[REDACTED] and I can do 12.30 if you'd like to pop invitation through

Many thanks, [REDACTED]

From: [REDACTED] gov.scot>
Sent: Tuesday, April 19, 2022 11:12 AM
To: [REDACTED] crownstatescotland.com>
Cc: [REDACTED] gov.scot>; [REDACTED] crownstatescotland.com>

Subject: RE: Lines for correspondence - ScotWind and SCDS [REDACTED]
[REDACTED]@crownstatescotland.com>

Importance: High

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Hi [REDACTED]

Hope you had a lovely weekend.

Would you have some time around 12.30 or 2pm to quickly discuss the PQ below please?

Thank you,

[REDACTED]

[REDACTED] (she/her)
Senior Policy Officer – Sectoral Marine Planning
Marine Scotland – Policy and Planning

Scottish Government | Marine Laboratory | 375 Victoria Road | Aberdeen | AB11 9DB

Mobile: [REDACTED]

Email: [REDACTED]@gov.scot

From: [REDACTED]@crownstatescotland.com>
Sent: 14 April 2022 10:10
To: [REDACTED]@gov.scot>
Cc: [REDACTED]@gov.scot>; [REDACTED]@crownstatescotland.com>
Subject: RE: Lines for correspondence - ScotWind and SCDS [REDACTED]
[REDACTED]@crownstatescotland.com>
Importance: High

H [REDACTED]

Please see below. Given that the guidance is not statutory, it's important that we do not invertedly introduce any element of uncertainty regarding the veracity of the process to date, nor commit to any elements that may be impractical specifically in relation to future leasing.

This is an important issue and critical that we get this PQ answer right - if SG are not content with the below, please come back to me.

Many thanks, [REDACTED]

MSP Q: To ask the Scottish Government, further to the answer to question S6W-06064 by Michael Matheson on 22 February 2022, whether it expects Crown Estate Scotland to **have** acted, specifically, in accordance with the Scottish Government publication, Guidance on due diligence: human rights, to conduct checks on the organisations in question.

SG proposed answer: Following my response of the 22 February 2022, Crown Estate Scotland (CES) is responsible for the ScotWind leasing and the selecting process. We expect all Scottish public organisations to follow due diligence, including that related to human rights, as appropriate. The due diligence carried out by Crown Estate Scotland was outlined in my answer to question S6W-06064 and includes requiring written assurances from all project partners that they have not been convicted of unlawful activity in relation to a range of requirements, including aspects such as; corruption, bribery, fraud and human trafficking and exploitation, within the last five years.

From: [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Sent: Wednesday, April 13, 2022 2:57 PM
To: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Cc: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Subject: RE: Lines for correspondence - ScotWind and SCDS

H [REDACTED]

We're finalising a response on this and will get back to you before 10:00 tomorrow morning.

Kind regards,

[REDACTED]
[REDACTED]
Crown Estate Scotland
M: [REDACTED]
www.crownestatescotland.com

From: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)> <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>
Sent: Wednesday, April 13, 2022 10:45 AM
To: [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>; [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Cc: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] <[\[REDACTED\]@crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Subject: RE: Lines for correspondence - ScotWind and SCDS

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Hi both,

We have reviewed the lines and updated as you can see below. The main line is that since you have

conducted due diligence it would be of benefits to all parties to agree that there is an expectation to abide by the guidance and CES agrees to abide by it. Again since this is due tomorrow, it would be great to have your confirmation by the end of today.

Following my response of the 22 February 2022, Crown Estate Scotland (CES) is responsible for the ScotWind leasing and the selecting process. CES is expected to act in line with The 'Guidance on due diligence: human rights'. We expect Crown Estate Scotland to follow all necessary due diligence and have made this clear to them. The due diligence carried out by Crown Estate Scotland was outlined in my answer to question S6W-06064.

Happy to discuss or answer any questions.

Best regards,

██████████

██████████ (she/her)

Senior Policy Officer – Sectoral Marine Planning

Marine Scotland – Policy and Planning

Scottish Government | Marine Laboratory | 375 Victoria Road | Aberdeen | AB11 9DB

Mobile: ██████████

Email: ██████████

From: ██████████ [crownestatescotland.com](mailto:██████████@crownestatescotland.com)>

Sent: 13 April 2022 06:52

To: ██████████ [gov.scot](mailto:██████████@gov.scot)>

Cc: ██████████ [gov.scot](mailto:██████████@gov.scot)>; ██████████ [crownestatescotland.com](mailto:██████████@crownestatescotland.com)>;

██████████ [crownestatescotland.com](mailto:██████████@crownestatescotland.com)>

Subject: FW: Lines for correspondence - ScotWind and SCDS

Hi ██████████

I have taken out one line below. While the line is not incorrect, procurement regs were taken as a benchmark - ScotWind is not a procurement process so best to leave out to avoid any misinterpretation.

I'm off today but please email ██████████ if you need anything further.

Best wishes, ██████████

From: ██████████ [gov.scot](mailto:██████████@gov.scot) <██████████@gov.scot>

Sent: Tuesday, April 12, 2022 5:17 PM

To: ██████████ [crownestatescotland.com](mailto:██████████@crownestatescotland.com)>; ██████████ [gov.scot](mailto:██████████@gov.scot)>

Cc: ██████████ [crownestatescotland.com](mailto:██████████@crownestatescotland.com)>

Subject: RE: Lines for correspondence - ScotWind and SCDS

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Hi [REDACTED],

As [REDACTED] mentioned last week please see below the draft PQ. I have used the same lines we used last time, as they contain details on the CES process. If you could maybe tweak it to provide some more clarity on the relevant guidance used would be great.

Following my response of the 22 February 2022, Crown Estate Scotland is responsible for the ScotWind leasing and the selecting process. The Guidance for due diligence: Human rights doesn't apply to the leasing process of ScotWind. However, Crown Estate Scotland is expected to follow due diligence standards. As part of the application process, developers must adhere to the relevant guidance and make a declaration providing written, formal assurance that they have not been convicted of unlawful activity in relation to a range of requirements, including human rights and a number of other activities, within the last five years. This is consistent with Scottish Government's procurement regulations. Only those companies that provided such assurances were allowed to proceed in the ScotWind leasing. The ScotWind terms and conditions make clear that CES reserve the right to void any application or agreement if false information is found to have been provided, and CES will not hesitate to take the appropriate action if needed.

It would be great if you could get back to me by COB tomorrow, apologies for the quick turnaround.

Any questions, please feel free to contact me.

Thank you,

[REDACTED]

[REDACTED] (she/her)

Senior Policy Officer – Sectoral Marine Planning

Marine Scotland – Policy and Planning

Scottish Government | Marine Laboratory | 375 Victoria Road | Aberdeen | AB11 9DB

Mobile: [REDACTED]

Email: [REDACTED]@gov.scot

From: [REDACTED] <[REDACTED]@crownestatescotland.com>

Sent: 07 April 2022 11:07

To: [REDACTED] <[REDACTED]@gov.scot>; [REDACTED] <[REDACTED]@gov.scot>

Cc: [REDACTED] <[REDACTED]@crownestatescotland.com>; [REDACTED]

[REDACTED] <[REDACTED]@gov.scot>

Subject: RE: Lines for correspondence - ScotWind and SCDS

Thanks [REDACTED]

We'll await to see SG's draft response on this latest PQ then add to that

Best, [REDACTED]

From: [REDACTED] <[REDACTED]@gov.scot> <[REDACTED]@gov.scot>

Sent: Thursday, April 7, 2022 10:02 AM

To: [REDACTED] [crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>; [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)
Cc: [REDACTED] [crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>; [REDACTED] [.scot](mailto:[REDACTED]@gov.scot)
Subject: RE: Lines for correspondence - ScotWind and SCDS

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Hi [REDACTED]

Thanks for sending that through I've just picked it up but [REDACTED] was ahead of me and says it looks good.

Thanks for the help. Hopefully this is the last of the digging on ScotWind price.

However, we also have another PQ on the human rights guidance (emphasis mine). [REDACTED] is working up a response- due to PO later next week.

To ask the Scottish Government, further to the answer to question S6W-06064 by Michael Matheson on 22 February 2022, whether it expects Crown Estate Scotland to have acted, specifically, in accordance with the Scottish Government publication, Guidance on due diligence: human rights, to conduct checks on the organisations in question.

Liam McArthur

[REDACTED] will get a draft answer together and share it but have CES thought more about this specific guidance. The question is obviously looking to see if you adhered to it. from my understanding of the last answer relating to this, it's not as clear cut as to whether this applies, but obviously we would expect best practice to be followed etc. if you have a position on this specific question it would be useful to incorporate it in the answer.

Thanks,

[REDACTED]

[REDACTED] | Marine Planning and Assessment Specialist | Marine Scotland
Scottish Government | 1 A South | Victoria Quay | Edinburgh | EH6 6QQ

Tel: [REDACTED]

Email: [REDACTED] [@gov.scot](mailto:[REDACTED]@gov.scot)

www.marine.gov.scot

www.gov.scot/marinescotland

From: [REDACTED] [crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Sent: 07 April 2022 07:58
To: [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>; [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>
Cc: [REDACTED] [crownestatescotland.com](mailto:[REDACTED]@crownestatescotland.com)>
Subject: RE: Lines for correspondence - ScotWind and SCDS

Morning both

Please see attached

Hope this provides what you need

[REDACTED]

From: [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot) [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)>

Sent: Tuesday, April 5, 2022 9:57 AM

To: [REDACTED] [crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Cc: [REDACTED] [@gov.scot](mailto:[REDACTED]@gov.scot)

Subject: RE: Lines for correspondence - ScotWind and SCDS

REDACTED AS CONTENT NOT IN SCOPE

! CAUTION ! This email originated from outside of the organisation. Do not click links or open attachments unless you recognise the sender and know the content is safe.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] [REDACTED] | Marine Planning and Assessment Specialist | Marine Scotland
Scottish Government | 1 A South | Victoria Quay | Edinburgh | EH6 6QQ

Tel: [REDACTED]

Email: [REDACTED] [gov.scot](mailto:[REDACTED]@gov.scot)

www.marine.gov.scot

www.gov.scot/marinescotland

From: [REDACTED]

Sent: 05 April 2022 09:53

To: [REDACTED] [@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Cc: [REDACTED]@gov.scot>

Subject: RE: Lines for correspondence - ScotWind and SCDS

[REDACTED] REDACTED AS CONTENT NOT IN SCOPE

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED] | Marine Planning and Assessment Specialist | Marine Scotland
Scottish Government | 1 A South | Victoria Quay | Edinburgh | EH6 6QQ

Tel: [REDACTED]

Email: [REDACTED]

www.marine.gov.scot

www.gov.scot/marinescotland

From: [REDACTED]

Sent: 05 April 2022 09:50

To: [REDACTED]@gov.scot>

Subject: RE: Lines for correspondence - ScotWind and SCDS

Hi [REDACTED]

Sorry [REDACTED] there are now follow up questions on this chain before you even responded to the first lot.

[REDACTED] | Marine Planning and Assessment Specialist | Marine Scotland
Scottish Government | 1 A South | Victoria Quay | Edinburgh | EH6 6QQ

Tel: [REDACTED]

Email: [REDACTED]@gov.scot

www.marine.gov.scot

www.gov.scot/marinescotland

From: [REDACTED]

Sent: 04 April 2022 16:22

To: [REDACTED]@crownstatescotland.com>

Subject: RE: Lines for correspondence - ScotWind and SCDS

Thanks [REDACTED] that's great. I'm the middle-man here so I'll pass it on when you are

ready.

Thanks to you and [REDACTED] for looking so quickly.

Cheer,

[REDACTED]

[REDACTED] | Marine Planning and Assessment Specialist | Marine Scotland
Scottish Government | 1 A South | Victoria Quay | Edinburgh | EH6 6QQ

Tel: [REDACTED]

Email: [REDACTED]

www.marine.gov.scot

www.gov.scot/marinescotland

From: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Sent: 04 April 2022 15:59

To: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>

Subject: FW: Lines for correspondence - ScotWind and SCDS

Hi [REDACTED]

We have drafted response and hope to get to you first thing tomorrow

[REDACTED]

From: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Sent: Friday, April 1, 2022 1:57 PM

To: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Cc: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>; [REDACTED]

[REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Subject: FW: Lines for correspondence - ScotWind and SCDS

Hi [REDACTED] – can you please liaise with and respond to [REDACTED] on this?

The first couple of qs are standard and if you need anything on supply chain [REDACTED] will be able to help.

Many thanks

[REDACTED]

From: [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)> [REDACTED] <[\[REDACTED\]@gov.scot](mailto:[REDACTED]@gov.scot)>

Sent: Friday, April 1, 2022 1:52 PM

To: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>; [REDACTED]

[REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Cc: [REDACTED] <[\[REDACTED\]@crownstatescotland.com](mailto:[REDACTED]@crownstatescotland.com)>

Subject: Lines for correspondence - ScotWind and SCDS

! CAUTION ! This email originated from outside of the organisation. Do not click links or open attachments unless you recognise the sender and know the content is safe.

Hi [REDACTED] **REDACTED AS CONTENT NOT IN SCOPE**

[REDACTED]

[REDACTED] Marine Planning and Assessment Specialist I Marine Scotland
Scottish Government I 1 A South I Victoria Quay I Edinburgh I EH6 6QQ

Tel: [REDACTED]
Email: [REDACTED]@gov.scot
www.marine.gov.scot
www.gov.scot/marinescotland

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[REDACTED]

From: [REDACTED]
Sent: 22 June 2022 14:40
To: [REDACTED]
Subject: FW: Relationships with Russian businesses and guidance on aligning with the Scottish Government position on sanctions
Attachments: Portal note(final).docx; Attachment 1 generic cover letter (final) signed.docx; Attachment 2 Updated SoC template(final).docx

From: [REDACTED]
Sent: 10 March 2022 18:04
To: [REDACTED]@gov.scot>
Subject: FW: Relationships with Russian businesses and guidance on aligning with the Scottish Government position on sanctions

REDACTED AS INTERNAL COMMUNICATION AND NOT IN SCOPE FOR THIS REQUEST

[REDACTED]

[REDACTED]

[REDACTED]

marinescotland
Scottish Government | Area GB-South | Victoria Quay | Edinburgh EH6 6QQ

[REDACTED]

email [REDACTED].scot
w: <http://www.gov.scot/marinescotland>

From: [REDACTED]@crownstatescotland.com>
Sent: 10 March 2022 16:38
To: [REDACTED]@gov.scot>
Cc: [REDACTED]@crownstatescotland.com>
Subject: Relationships with Russian businesses and guidance on aligning with the Scottish Government position on sanctions

[REDACTED]

As a follow-up to our call this morning and with reference to the letter to our Chief Executive from [REDACTED] SG Director for International Trade and Investment, here is a more detailed explanation of what Crown Estate

Scotland is doing with respect to due diligence on business links to Russia/ Belarus. The key focus in the first instance is the ScotWind leasing process (as agreements are in the final stages of completion, planned for April 6th):

1. We conducted an initial check of applicants for any obvious Russian ownership or registration. This review was carried out in early March. No such ownership or registration was found;
2. We are augmenting that initial due diligence by requiring all Applicants, Project Partners (of whatever category) and guarantors to provide an additional Statement of Commitment, confirming:
 - a. that they are in full accordance with the UK applicable sanctions regime (if UK domiciled) or applicable sanctions in their country of domicile. To be clear, UK registered subsidiaries of foreign entities must abide by the UK sanctions regime;
 - b. undertaking to continue to monitor and adhere to that regime as it develops; and
 - c. providing information on links to Russia/ Belarus that may be in existence in any part of their wider company group, together with information on steps being taken to sever those links.
3. The requirement detailed in 2. has been posted on our ScotWind Portal today, with a response required by Monday 28th March at 12 noon.
4. Copies of the relevant documents (Portal notice, CES Cover Letter and Model Form Statement of Commitment) are attached for your information.
5. We consider that our approach is in accordance with the sentiments of the [REDACTED] letter – it is a robust due diligence exercise, clearly not limited to *‘the contents of the legal sanctions regime’* or to only direct participants in the ScotWind process. We have also captured non-UK sanctions (where applicable) and requested information on Russian/Belarussian involvement in the wider company structures of the entities we are engaged directly with.
6. [REDACTED]
7. Attention is now shifting to our wider Tenant population. We are adopting a risk lead approach and will be sending letters (along the lines of the ScotWind commitment letters) to our Tenants imminently. The exact wording of the request and the relative priority of our various Tenants is the subject of active consideration currently.

I trust this message is helpful – if you have any questions, don’t hesitate to get in touch.

Best Regards

[REDACTED]

[REDACTED]

Senior Commercial Manager

Crown Estate Scotland

[REDACTED]

www.crownestatescotland.com

Our team is currently working from home. Mail is occasionally being collected from our offices (addresses are at www.crownestatescotland.com/contact-us). Where possible, please e-mail or call us rather than post mail.

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██████████
Crown Estate Scotland
Quartermile 2
2nd Floor
2 Lister Square
Edinburgh
EH3 9GL

[Date]

Dear [Enter name]

ScotWind Leasing
Updated Statement of Commitment
Application Number¹ (Application)
Plan Option ² (PO)

We, in our capacity as **Choose an item.**, refer to the above-mentioned application and now confirm the following to Crown Estate Scotland:

- (a) The project structure setting out the roles of each of the Lead and Sole Applicant, each Project Partner, each Funding Organisation, each Supplementary Experience Provider (all as defined in the Offer Document), together with any guarantors and the supply chain (insofar as already known) is annexed in Part A and it is true and accurate in all respects;
- (b) The Company structure ultimately showing the ultimate ownership of the Company is shown annexed in Part B and it is true and accurate in all respects;
- (c) Having carried out an assessment we can confirm that
 - (i) we, nor any of our Group Companies³ are listed persons in any Applicable Sanctions Regime and acknowledge that if we became a listed person, CES in its absolute discretion may terminate our participation in the ScotWind project;
 - (ii) we, nor any of our Group Companies have any arrangements with any other person (whether corporate or national) who is listed as being subject to any Applicable Sanctions Regime;

¹ Insert the first four digits of your ScotWind Application ID

² Insert Sectoral Marine Plan Option eg W1

³ For the purpose of this Updated Statement of Commitment, Group Company or Group Companies shall be defined in relation to a company as that company, any subsidiary/subsidiary undertaking or any holding company/parent undertaking from time to time of that company, and any subsidiary/subsidiary undertaking from time to time of a holding company/parent undertaking of that company. Each company is a Group Company.

- (iii) we and any of our Group Companies shall ensure that throughout all stages of the project, we will not enter into any arrangements with any other person (whether corporate or national) who is a listed person in respect of any Applicable Sanctions Regime (as may be updated from time to time) and to which we or any of our group require to comply with and acknowledge that if we did enter into arrangements with such a person, CES in its absolute discretion may terminate its involvement with us
 - (iv) no member of our supply chain is subject to the UK sanctions regime or any sanctions regime elsewhere in the world
- (d) We undertake to continue to monitor the position with regards any Applicable Sanctions Regime to which we or our group are required to comply and shall update CES in the event that any changes to those regimes would result in us breaching these undertakings.
- (e) We attach at appendix C a note of any involvement that we (or any of our Group Companies) have in Russia/Belarus and with any Russian or Belarussian entities. This identifies the nature of the relationship and the steps we are taking to divest ourselves of such involvement and the likely timescales involved.

Yours faithfully

Annexe A

Insert the overarching project structure.

Annexe B

Beneficial ownership of relevant person who is making the updated Statement of ommitment

Annexe C

Insert details of Russian/Belarussian Involvement

Dear [],

Your ScotWind application required a Statement of Commitment from the Lead Applicant and each of the Project Partners. The guidance for answering Question G1 is provided here:

‘There is a risk of damage to Crown Estate Scotland’s reputation in the event that an Option Agreement and Lease were awarded in a situation where a Project Partner or a Lead and Sole Applicant is found to have acted unlawfully.

In the interests of ensuring we contract with responsible, reputable organisations, we are asking you to confirm in your Statements of Commitment at Board level or equivalent that neither the company/organisation nor any office holder or person with powers of representation, decision or control within the company/organisation have at any time been convicted of any offence of the kind we specify.’

The current crisis in Ukraine has resulted in the UK, the EU and nations across the world introducing a number of new sanctions and trade embargoes and as such, we now require an updated Statement of Commitment from each Lead Applicant and each of their Project Partners and Guarantors.

Attachment 1 ‘Sanctions Cover Letter’ provides more detail of our requirements. Attachment 2 provides a standard form of response – this should be completed by the Lead Applicant, each Project Partner and each Guarantor, on their company headed paper and signed at Board level or equivalent. The template includes a drop-down choice between Lead Applicant, Project Partner and Guarantor which should be completed as appropriate.

Each completed statement requires three annexes:

- Annexe A being the project structure setting out the roles of each of the Lead Applicant, each Project Partner (with identification of each Funding Organisation and each Supplementary Experience Provider - all as defined in the Offer Document), together with any guarantors and the supply chain (insofar as already known)
- Annexe B being the company structure of the company/organisation making the commitment; showing the ultimate ownership of that company/organisation
- Annexe C being a note of any involvement that the company/organisation have in Russia/Belarus and with any Russian or Belarussian entities.

The Lead Applicant should provide the completed statements in one portal message with each document attached, no later than 12 noon on 28 March.

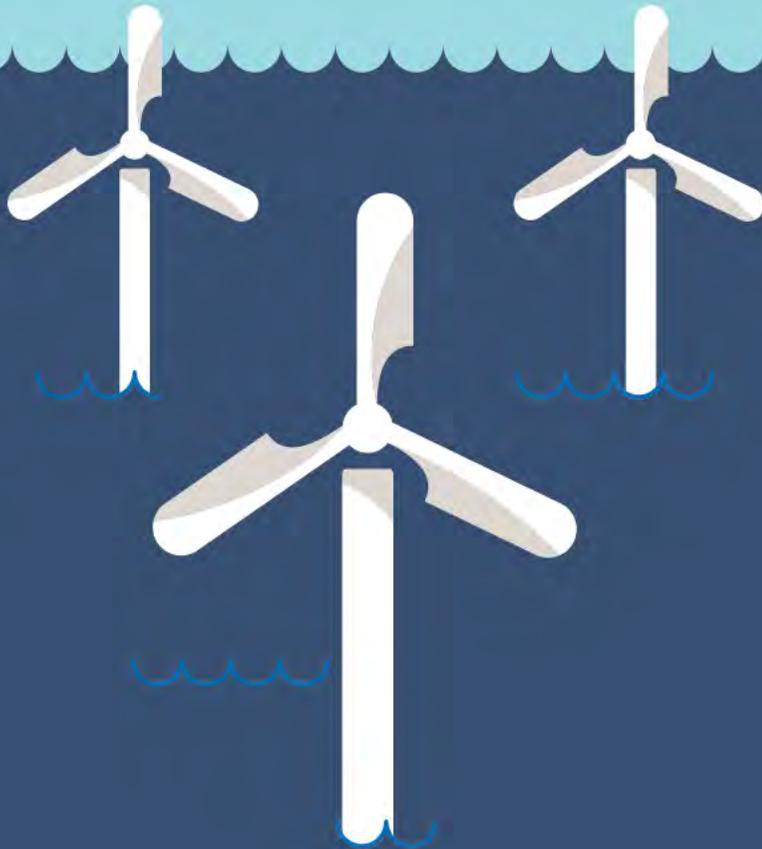
Many thanks



The ScotWind Leasing Team
Crown Estate Scotland



**Crown Estate
Scotland**
Oighreachd a' Chrùin Alba



ScotWind Leasing

Seabed leasing for new offshore wind farms

Guidance Notes April 2021

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Section 1 Introduction

The purpose of these Guidance Notes is to explain to Applicants how to complete the Application Form and how we will score the responses we receive.

The Application Form is divided into seven parts, A to G. These Guidance Notes provide an overview of the information we are seeking in each part and our aim in requesting it, followed by detailed notes on how to approach each question within that part. Alongside the detailed notes on each question, we have included information on how we will score your application. Applicants should also carefully review the Offer Document, as this contains definitions of various terms and also provides further information on some aspects of the Application Form.

Where a maximum page count is included in the question, any pages included in the response which exceed the stated figure will not be read, and so are not capable of being credited in our evaluation. Where limits are expressed in terms of A4 pages we mean that number of single sides of A4, and expect a reasonable font size of not less than 10 pt. to be used for text and normal margins of 2.54 cm to be used. Cover pages and approval sheets will not be included in page counts. Executive summaries or abstracts, glossaries, table of contents, appendices or annexes, and pages with maps, plans or diagrams should be included when counting the number of pages. If a drawing, image or table is best viewed in A3 and not A4 format, it can be submitted in A3 format rather than A4 and will be counted as a single page. If an image is embedded within main text and that page is expanded to A3 size, this will be counted as two pages.

Section 2

Application Form format and attachments

The Application Form is provided in an editable format on the ScotWind Leasing portal.

You will be required to produce additional information alongside your completed Application Form. To avoid confusion in terms of naming the files you will be attaching to your application, we have defined a naming convention which you are required to use when uploading your Application Form and attachments. This is set out in Section 3 of this document.

Attachments for Question A2, setting out the boundary of the area being applied for, should be in Shapefile format. All the other attachments must be in Word or PDF format. No other formats

will be accepted for these attachments. Information generated using other software packages should be incorporated into the Word or PDF format files.

Please note that every application must contain a complete set of applicant information and documentation; even if the same information will be submitted for more than one application, it must be submitted with suitable file naming for each application separately. No cross-referencing to information or documentation between multiple applications is permitted.

Section 3

Naming your attachments

We require you to use the naming conventions set out in this section for attachments prepared when responding to questions.

Following submission of your Registration Form we notified you of a filename prefix to be used throughout your application, which will enable us to uniquely identify the Lead Applicant or Lead and Sole Applicant and the particular application. That prefix (denoted “<prefix>”) should be used for every upload. In addition, the supporting attachments for the Application Form should be uploaded with the name:

SWL1<prefix><attachment identifier>01.<ext>

Where:

SWL1 identifies the first cycle of ScotWind Leasing,

<attachment identifier> is the text string given in the column “Text string to identify attachment” in the following table,

“01” denotes the initial submission, to distinguish it from any clarification response which may be provided later, and

.<ext> denotes the conventional filename extension used to indicate the software application required to read the file.

In some cases a single attachment is stipulated to contain supporting information for more than one question, where those questions may readily be grouped. In those cases, the attachment should include clear headings within its body to indicate the question number that each piece of supporting information relates to.

Part	Question No	Question – short description	Attachment required	Text string to identify attachment
A	2	Shapefile	Yes	A2SHAPE
A	4	Proximity and list	If near existing agreement	A4INCUMBENT
A	9	Organisations and roles	Yes	A9ORGS
A	9	Organisations and roles	Yes	A9ORGCHART
A	9	Tenant Organisation ownership	Yes	A9EQOWN
A	10	H&S Convictions	Yes	A10CONVICT
A	10	H&S Convictions Remedial Action Plan	If details of H&S Convictions provided	A10RAP
A	11	H&S Enforcement	Yes	A11ENFORC
A	11	H&S Enforcement Remedial Action Plan	If details of H&S Enforcements provided	A11RAP
A	13	Supply Chain Development Statement	Yes	A13SCDS

A	13	SCDS Outlook	Yes	A13OUTLOOK
B	1	DPFS	Yes	B1DPFS
B	4	Preferred Project Concept	Yes	B47CONCEPT
B	5	Turbine selection	Yes	B47CONCEPT
B	6	Foundation type	Yes	B47CONCEPT
B	7	Proposed layout	Yes	B47CONCEPT
C	1	Offshore PDP	Yes	C123PDP
C	2	Onshore PDP	Yes	C123PDP
C	3	PDP to FID	Yes	C123PDP
D	1	Experience	Yes	D12EXPER
D	2	Additional experience	If additional headings being proposed	D12EXPER
D	3	Person-years Experience	Yes	D3EXPER
D	4	Capabilities	Yes	D4CAPAB
D	5	Resource plan	Yes	D5RES
D	5	CVs or role profiles	Yes	D5CVRP
D	6	Appointing resources and future risks	Yes	D6RISK
E	1	Budget to key consents	Yes	E12BUDGET
E	2	Outline budget from consents to FID	Yes	E12BUDGET
F	1	Indicative finance summary	Yes	F1FINSUM
F	2	Funding organisations	Yes	F2FUNDORG
F	3	Funding sources	Yes	F3FUNDSOU
F	4	Accounts	If responding to F4	F4ACCTS
F	5	Credit rating	If responding to F5	F5DANDB
F	6.1	Resources	Yes	F61RES
F	6.2	Supplementary	If cash reserves and /or committed but unallocated drawdown funding sources are being used	F62SUPPL

F	6.3	Quantity and timing	Yes	F63FACILITIES
F	7	Fundraising history of organisations	If responding to F7	F78RECORD
F	8	Fundraising history of individuals	If responding to F8	F78RECORD
G	1	Statements of commitment	Yes	G1COMMIT
G	2	Preparedness	If responding to G2	G2PREP

Section 4

Evaluation of responses

Crown Estate Scotland has been careful to ensure that the ScotWind Leasing process is fair and transparent. Where Crown Estate Scotland is of the view that there may have been collusion between a bidder and any other party in such a way as to distort competition, or is of the view that competition might otherwise have been distorted, or that an application is not a bona fide submission, it may take such measures or steps as it considers necessary, including the exclusion of any Project Partners/Lead and Sole Applicants from the ScotWind Leasing process. The bidders will co-operate with Crown Estate Scotland to provide such information that Crown Estate Scotland reasonably requires.

The responses to Parts A to G of the application are evaluated. The evaluation results feed into both a coarse grade and a more detailed numerical score, which is applied to some of the questions.

The coarse grades for each Part are combined to give a coarse grade for the whole application as follows:

- The overall coarse grade for an application may be Band 1, Band 2, or Band 3;
- If any of Part A to Part G scores Band 1, the overall grade for the application is Band 1;
- An overall grade of Band 1 means the application is not sufficient to meet our standards for this cycle of ScotWind Leasing and therefore will not be taken further;
- If Part A, Part B, Part E and Part G (where the highest available score is Band 2) score Band 2, and Part C, Part D and Part F (where the highest available score is Band 3) score Band 3, the overall grade is Band 3; and
- If not every element of an acceptable application in Part C, Part D and Part F is Band 3 where possible, the overall grade is Band 2.

If the overall coarse grades are tied (and the Applicant Valuations do not resolve the tie) then the overall detailed numerical scores will be considered. We expand on how the detailed numerical scores are calculated in Section 13 and provide a summary of how the coarse grade and detailed numerical scores are allocated across the whole application in Section 14.

Section 5

Completing Part A – basic information

Minimum score: Band 1

Maximum score: Band 2

Our aims in Part A

Part A collects basic information about the application and Applicant(s). Responses to this section that do not comply with the limitations or rules described in the Offer Document and these Guidance Notes will result in applications being unsuccessful.

Part A detailed guidance

Part	Question No	Minimum/Maximum Scoring	Question	Guidance
A	1	Not scored directly, but must be completed and correct information provided.	Code	The code name on your application must match that given in the Registration Form response letter you received from us confirming registration, prefixed by the Applicant-specific prefix described in Section 3 of the Guidance Notes which was also issued in the Registration Form response letter.
A	2	Not scored directly, but must be completed and correct information provided.	Shapefile	<p>The shapefile should give the boundary of your application site which, subject to a final check, will form the basis of a Schedule of the Option Agreement for successful applications.</p> <p>This should be supplied as a .zip folder containing a GIS shapefile. Please ensure the shapefile contains spatial reference information so that we may determine the coordinate reference system used to create the boundary.</p> <p>So that applicants are able to make an informed decision on their preferred coordinate basis, we provide the following information about how application boundaries are expressed, and will be processed by us.</p> <p>The SMP boundaries made available by Marine Scotland are in WGS84 format and based on geodesic drawing. Marine Scotland has provided Crown Estate Scotland with a densified set of WGS84 shapes of the SMP boundaries to allow for a more accurate transformation to other coordinate reference systems. We will undertake our comparison of ScotWind Leasing application boundaries and the SMP Plan Option boundaries by converting both to BNG prior to performing the comparison. The spatial data of our existing legal boundaries must be in BNG.</p> <p>We are aware that a non-densified shapefile will not convert with full accuracy to BNG. Therefore, given we have fully accurate densified boundary data for the SMP Plan Options against which we will run a comparison, we will densify applicant shapefiles that are in WGS84 (or others, such as UTM) before performing the comparison. This process adds vertices along a boundary at a pre-defined distance. We share this information to make applicants aware of our approach.</p>

A	3	Minimum: Band 1 Maximum: Band 2	Area	<p>We need you to give us the area in square kilometres (km²) of the site covered by your application i.e. your Option Agreement Area.</p> <p>To achieve Band 2 the area must:</p> <ul style="list-style-type: none"> (i) be greater than 20 km² or, where the area is less than 20 km², you must demonstrate in answer to Question B1 that a lesser area is capable of achieving an Installed Capacity of 100 MW; (ii) be no more than 860 km²; (iii) enclose a single area of seabed (not multiple non-contiguous areas); (iv) lie entirely within a single Plan Option; and (v) be in agreement with the area calculated from the shapefile submitted in answer to A2 (with a reasonable tolerance allowed for rounding). <p>This is a cross-check to ensure that the area of the shapefile is as expected and it is not a requirement that there be precise numerical agreement between the two.</p> <p>Otherwise a Band 1 will be awarded.</p>
A	4	Minimum: Band 1 Maximum: Band 2	Proximity and list	<p>To achieve Band 2 the Boundary of your application site must be either:</p> <ul style="list-style-type: none"> (i) more than 5 km away from the boundaries of an existing wind farm; or (ii) if your application site is less than the minimum required distance from existing wind farm agreements, please tell us by listing the affected wind farm agreements on the form. You must provide documentary evidence that each affected tenant, at Board level or equivalent, is satisfied with the proximity of your application site. The documentary evidence needs to be complete, accurate and cover the following points: <ul style="list-style-type: none"> - That the originator is in a position to represent the entity that is the counterparty to the existing wind farm agreement. - That the counterparty to the existing wind farm agreement understands the exact boundary being sought in this application and understands that a wind farm may be constructed anywhere within the boundary defined in that application. - That the counterparty to the existing wind farm agreement is content for the new application to be made. - Contact details for the originator to enable Crown Estate Scotland to follow-up if it deems that is prudent. <p>Otherwise a Band 1 will be awarded.</p> <p>This requirement does not apply to existing agreements for wind farm transmission connections to shore.</p> <p>Maps and GIS shapefiles which give information about existing seabed agreements and other assets are available to download from the website www.crownestatescotland.com. You may choose to submit a pre-application 'proximity check' request to Crown Estate Scotland for a proposed site to establish whether it might interact with any assets which exist at the time the check is done, but noting that dealings subsequent to that may occur before your application is submitted.</p> <p>The Applicant is responsible for obtaining and maintaining definitive records of data relevant to their application, including information that may become available on new assets during the time that an application is being prepared. This question relates to wind farm agreements arising from earlier leasing; you are not expected to have any information about proximity to other applications being made to this cycle of ScotWind Leasing.</p>

A	5.1	Minimum: Band 1 Maximum: Band 2	intended Installed Capacity	<p>We need to know the Installed Capacity in megawatts (MW) that is intended for the project once fully constructed. This will be carried through to the definition of intended Installed Capacity in the Option Agreement.</p> <p>If the project concept set out in Part B of this application considers multiple possible solutions in terms of wind farm capacity, please state the preferred choice in response to this question.</p> <p>Only the capacity figure of the preferred solution should be provided in this response. No additional explanation should be provided.</p> <p>Band 2: where intended Installed Capacity is 100 MW or greater.</p> <p>Band 1: where intended Installed Capacity is below 100 MW.</p>
A	5.2	Minimum: Band 1 Maximum: Band 2	First phase Capacity	<p>If phased construction is intended then – for the check of consistency with the SMP and with our requirements for the energy density of utilisation of seabed – we make the cautious assumption that only the first phase might be completed.</p> <p>This means that when project construction is to be phased, we require that the intended Installed Capacity of the first phase is above the minimum capacity catered for in the SMP and is high enough to result in our requirement for the minimum energy density of development the Option Agreement Area being met.</p> <p>In the case of a Large Application, the minimum capacity requirement of the initial phase is capped at 500 MW (i.e. if the Option Agreement Area is greater than 500 km², the initial phase need not be more than 500 MW).</p> <p>If the project concept set out in Part B of this application considers multiple possible solutions in terms of wind farm capacity, please state the preferred choice in response to this question.</p> <p>If the project is intended to be constructed in a single phase then the same value should be given in response to Questions A5.1 and A5.2.</p> <p>Band 2: First phase Capacity is 100 MW or more.</p> <p>Band 1: First phase Capacity is below 100 MW.</p>
A	6	Not scored directly, but your response will be checked against other relevant aspects of the application, for example the surveys of seabed characteristics we would expect to see identified in your response to Question C1.	Foundations	<p>We need to know what kind of foundations the project might use. We will use this information to determine the reference data against which we will evaluate the remaining aspects of your application.</p> <p>The information provided in Question A6 will not be carried through to the Option Agreement.</p>
A	7	Minimum: Band 1 Maximum: Band 2	Valuation	<p>We need to know what your Applicant Valuation for the site is in £ per km². We will apply this figure when resolving competing interest if the coarse grading alone is insufficient to determine the preferred application. The figure will also be used to determine the Option Fee payable, whether or not it was required to resolve competing interest.</p> <p>Note that the Applicant Valuation level and structure for this cycle of ScotWind Leasing has been set by reference to economic analysis and the risks and uncertainties associated with applications to this cycle and should not be taken as an indication of how future cycles of ScotWind Leasing might be arranged.</p> <p>Band 2: if an Applicant Valuation is provided.</p> <p>Otherwise a Band 1 will be awarded.</p>

A	8	Not scored directly, but must be completed and correct information provided.	Duration	We need to know the duration of the Option Period you are seeking. The maximum period is 10 years. We will not use this information in scoring your application, but we will incorporate it into the Option Agreement as a contract term, if you are successful. However, if you propose an Option Period of more than 10 years your application will be excluded from consideration.
A	9	Not scored directly, but must be completed and correct information provided.	Partners	<p>We need to understand the identity of all the organisations involved in the application and their roles within it.</p> <p>In the first row, give details of the Lead Applicant or Lead and Sole Applicant (as applicable). Include rows for any Project Partners. Confirm the role of each organisation in the intended project by giving a “Yes” or “No” response in the relevant columns in the attachment. Section 4.4 of the Offer Document explains the roles referred to in Columns 5- 9 of the response to this question.</p> <p>An organisation may be identified as having more than one role.</p> <p>It is important to include information in respect of all Project Partners, if there are any.</p> <p>Every organisation must nominate a responsible officer.</p> <p>Accompanying the table, please provide a chart which clearly illustrates the structure and interfaces between each listed Project Partner and a separate chart showing the intended ownership structure of the Tenant Organisation. This should also show which companies are providing a Wind Farm Delivery Responsibility, Funding and/or Capability and Experience roles in the application.</p>
A	10 and 11	Minimum: Band 1 Maximum: Band 2	H&S – Convictions and Enforcement Notices	<p>We need to know and understand the health and safety records of all organisations listed as having a Capability and Experience role in response to Question A9 in order to allow us to consider and assess your suitability to deliver this project.</p> <p>Convictions (A10) means convictions in any court or tribunal relating to laws or regulations which are relevant to health and safety, whether within the UK, EU or elsewhere.</p> <p>Enforcement Notices (A11) means notices issued by a regulatory authority requiring the cessation of an activity or circumstance, or requiring that certain measures are taken, in relation to health and safety, whether within the UK, EU or elsewhere. In the terminology relevant to the UK, an enforcement notice means a Prohibition Notice or an Improvement Notice.</p> <p>Information about Convictions and Enforcement Notices must be provided for the most recent ten years. Where the same underlying event results in both Enforcement Notice(s) and Convictions(s) within the relevant period, entries should be made for both A10 and A11. Information should be provided in response to Columns 4 to 6 of A10 and Columns 4 and 5 of A11 for every Conviction / Enforcement Notice. It is acceptable for there to be overlap in the information provided in A10 and in A11: for example, if the same underlying event results in entries in both questions then some degree of overlap would be expected.</p> <p>For A10, the responses to columns 1, 2, 3 and 5 should be given as rows in a table. The responses to columns 4 and 6 should be covered by pages which follow that table, and should take the form of a one-page Remedial Action Plan for each incident listed in the table, which summarises the incident, sets out the actions taken, the responsible parties, the monitoring indicators and the current status.</p> <p>Similarly for A11, the responses to columns 1, 2 and 3 should be given as rows in a table. The responses to columns 4 and 5 should be covered by pages which follow that table, and should take the form of a one-page Remedial Action Plan for each incident listed in the table, which summarises the incident, sets out the actions taken, the responsible parties, the monitoring indicators and the current status. The response in column 3 should specify the type of enforcement notice (for example Prohibition, Improvement, etc).</p>

				<p>You will score Band 1 in respect of Question A10 / A11 if:</p> <ul style="list-style-type: none"> (i) the information provided details any Conviction (if Question A10) / Enforcement Notice (if Question A11) and the information provided in Columns 4 to 6 (Question A10) / Columns 4 and 5 (Question A11) does not provide evidence that mitigations are in place to prevent recurrence; multiple Convictions or Enforcement Notices under the same law or regulation will need to be accompanied by good evidence that demonstrates mitigations are in place; (ii) the information you provide is inaccurate and / or there are omissions; or (iii) you fail to fully answer the question. <p>Otherwise the application would score Band 2.</p> <p>Please indicate "None" in the relevant columns of the attachments where organisations listed as having a Capability and Experience role in response to A9 have no Convictions or Enforcement Notices.</p>
A	12	Minimum: Band 1 Maximum: Band 2	SMP Plan Option	<p>Enter the label of the Plan Option given in the SMP that is relevant to the shapefile submitted in response to Question A2.</p> <p>Score Band 2: if a single label for the relevant area of seabed in the SMP is given.</p> <p>Otherwise a Band 1 will be awarded.</p>
A	13	Not scored directly, but must be completed and correct information provided.	Supply Chain Development Statement	<p>The Model Form of Option Agreement (Clause 24) and Lease (Clause 11) set out how the SCDS arrangements operate and include definitions of terms. Please read these Clauses before answering this question.</p> <p>The ScotWind Leasing process does not impose any requirement on the level or location of anticipated Expenditure set out by applicants in the SCDS. The SCDS information will not be used in the assessment or scoring of applications, although if the SCDS is not provided as part of an application then it will be deemed incomplete and will not be evaluated.</p> <p>Each SCDS to be provided as part of the application shall consist of three parts:</p> <ul style="list-style-type: none"> (i) one table setting out the SCDS Commitments and one table setting out the SCDS Ambition (each table in Phases if applicable), with table columns and rows laid out according to Schedule Part 6 of the Option Agreement; (i) an accompanying narrative explaining the calculation of the SCDS Commitments and SCDS Ambition; and (ii) the narrative part of the SCDS Outlook (which, together with the SCDS Commitments table and the SCDS Ambition table form the complete SCDS Outlook). <p>The SCDS material which is incorporated into the Option Agreement consists of (i) the table setting out the SCDS Commitments, (ii) the narrative and (iii) the narrative part of the SCDS Outlook. The SCDS Ambition table does not form part of the Option Agreement.</p> <p>Applicants are advised to consider the points discussed in section 3.6.2 of the Offer Document relating to disclosure of information and to set SCDS Commitments, and the associated narrative and outlook text, such that the matters which they will then be required to comment on when submitting updates to the SCDS, provide supporting information for when preparing a CPS, and report progress against when there is a Lease, are at a level that they are content with in light of the routes by which information may ultimately be disclosed as set out in Offer Document sections 3.6.8 and 7.3.</p> <p>SCDS Commitments and SCDS Ambition</p> <p>The SCDS Commitments and SCDS Ambition are to be expressed in terms of Expenditure disaggregated by project stage and by geographic location, in accordance with the definitions of those terms set out in Clause 24 of the Option Agreement. Offer Document section 3.6.4 provides explanation of the basis on which Expenditure is to be expressed, which in turn flows from the definition of Expenditure in the Option Agreement.</p> <p>The SCDS submitted with the ScotWind Leasing application in answer to Question A13 is the Initial SCDS and will be incorporated into the Option Agreement. It is acceptable for the Initial SCDS to be primarily informed by the applicant's own view of the level of supply chain development which it is willing to commit to. We do not require the Initial SCDS to be founded on, and fully evidenced by, detailed discussion with supply chain companies.</p>

			<p>The definition of SCDS Commitments in the Option Agreement expressly states that the Expenditure put forward may be reflective of only the portion of the total Expenditure that an applicant is willing to be contractually committed to achieving. In particular, the calculation of Lowest Percentage Achievement expressly caters for the possibility that some or all of the SCDS Commitments might be zero. The Expenditure which is set out in the SCDS Commitments is therefore not required to sum to the total expenditure which is likely to be required for the Development, for reasons including those set out in Offer Document section 3.6.</p> <p>The definition of SCDS Ambition in the Option Agreement expressly states that the Expenditure put forward may be reflective of the applicant's view of total Expenditure modified as required to address any commercial confidentiality considerations. We anticipate that the Expenditure which is set out in the SCDS Ambition might be closer to the total expenditure which is likely to be required for the Development than that set out in the SCDS Commitments, but we do not require that it is a reflection of the complete expected expenditure position. None of the information presented in the SCDS Commitments or the SCDS Ambition plays any role in the evaluation of the responses given to Part E or Part F of the application form (nor any other part of the evaluation of an application).</p> <p>If it is known that the intended project will be constructed in more than one Phase, applicants must include SCDS Commitments and Ambition tables for each Phase. The Option Agreement caters via Clauses 4 and 24 for the situation where a decision is taken to introduce Phases at a later point, therefore submission of an application which does not disaggregate the SCDS Commitments by multiple Phases does not prevent a later decision to introduce multiple Phases.</p> <p>SCDS Narrative</p> <p>The SCDS Narrative should be no more than 3,000 words. It should include explanation and justification for the level and distribution of project expenditure for both the Commitments and Ambition, setting out the assumptions used. Though it is not a mandatory requirement for the Initial SCDS, if any engagement has been undertaken with the supply chain prior to submission, the Narrative should specifically include a description of the engagement in order to provide context.</p> <p>In relation to the Commitments, the SCDS Narrative section may set out limiting factors or known prerequisites/dependencies which need to be met for the Commitments to be delivered. Such detail may assist interested parties in supporting supply chain development.</p> <p>For the Ambition, the SCDS Narrative should be clear on the conditions under which the Ambition is most likely to be fulfilled, focussing on the specific elements of the supply chain which are being developed for the project to achieve the Ambition. The Narrative should explain what would be required to close the gap between the SCDS Ambition and Commitments; this could be achieved, for example, by setting out what support or outcomes would be required from both the public and private sector in order to deliver a more sustainable supply chain/industry.</p> <p>The SCDS Narrative must explain how the SCDS addresses the other aspects of ScotWind Leasing supply chain obligations included in Section G of the Application Form, along with other applicable external factors, for example the SOWEC Vision and Goals, and the CfD Supply Chain Plan arrangements relating to the pillars of the UK Industrial Strategy: Business Environment, Infrastructure, Ideas, People, and Places.</p> <p>The SCDS Outlook (which definition includes the SCDS Commitments and the SCDS Ambition) will be published openly. In addition to the two tables, the SCDS Outlook must be no longer than 1,000 words and should include any contextual or supporting information which the Tenant Organisation is content to share publicly. The Outlook text must not be inconsistent with the information provided in the Narrative, but it is not mandatory that it contains any particular content.</p>
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Section 6

Completing Part B – Project Concept and Density

Minimum score: Band 1

Maximum score: Band 2

Our aims in Part B

The aim of Part B is to assess whether the Desktop Preliminary Feasibility Study (DPFS) gives us confidence that the project feasibility has been adequately considered and that the intended density of development derived from that study – when compared to the spatial extent of the Option Agreement – achieves the capacity set out in answers to Questions A5.1 and A5.2.

Overview of the information we request

A DPFS should be submitted and will be used in the assessment of Parts B and C. In Part B the study is assessed directly to determine whether it provides evidence that the feasibility of the intended project is properly understood and that the intended Installed Capacity figure may be relied upon.

Part B detailed guidance

Part	Question	Minimum/ Maximum Scoring	Question	Guidance	Evaluation and Scoring
B	1	Your answers to questions B1, B4, B5, B6 and B7 are all evaluated together. Minimum: Band 1 Maximum: Band 2	DPFS	<p>Your DPFS should make reference to the SMP.</p> <p>All of the answers you give to the remaining questions in Parts B, C, D and E of this Application Form should be consistent with the information contained in the DPFS.</p> <p>The DPFS does not need to go beyond a desktop study of publicly available information.</p> <p>A plan which shows the boundary of the area applied for should be included, to allow us to perform a sense-check on the shapefile provided in response to Question A2.</p> <p>The following aspects must be included in the DPFS:</p> <ul style="list-style-type: none"> (i) Wind resource assessment; (ii) Investigation into the proposed site's physical characteristics and any existing infrastructure; (iii) Proposed indicative location and layout of turbines and other infrastructure within the Option Agreement Area; (iv) Proposed turbine technology type, number of units, dimensions and capacity (as in the guidance for Question B5 it is noted that the final turbine specification may not be known at this stage); (v) Proposed foundation/substructure type; (vi) Proposed electrical architecture and related infrastructure; (vii) Proposed installation, operation and maintenance approach; (viii) Monitoring and control systems relating to plant and equipment (i.e. this point does not refer to management systems); (ix) Future survey and/or data requirements to progress the project; and (x) A risk register detailing possible environmental constraints associated with development of the selected site, for example bird collision risk or visual impact, and risks associated with site conditions (e.g. metocean). <p>For each of the above, a range of potentially feasible project solutions may be included in the DPFS. However, where multiple possibilities are discussed, please select and indicate one preferred choice of offshore wind project and the reasons for this being the preferred choice.</p> <p>Please note it is a requirement that the specifics of the site are discussed, rather than presenting a more generalised discussion of potential site constraints. As such, it is expected that the actual parameter values and site characteristics will be identified in the DPFS.</p>	<p>The answers taken together will be scored as follows:</p> <p>Band 2: Your DPFS/responses to the questions demonstrate an acceptable level of robustness in relation to project feasibility and demonstrate that the capacities set out in answers A5.1 and A5.2 are likely to be achievable. DPFS/responses provide an acceptable level of supporting information and address most of the key aspects.</p> <p>Band 1: Your DPFS/responses to the questions do not provide an acceptable level of robustness in relation to project feasibility and fail to demonstrate that the capacity set out in answers A5.1 and A5.2 may be achievable. DPFS/responses fail to provide an acceptable level of supporting information or fail to address the majority of the key aspects.</p>

B	2 and 3	Minimum: Band 1 Maximum: Band 2	Values	<p>We want to understand the proposed efficiency of seabed usage for your preliminary project concept. The efficiency is defined as the ratio between the wind farm Installed Capacity in MW and the Option Agreement Area in km².</p> <p>The efficiency will be considered using two different measures of the project capacity:</p> <p>(i) the intended Installed Capacity of the project once fully constructed (the response given to Question A5.1); and</p> <p>(ii) the intended Installed Capacity of the first phase of the project to be constructed (the response given to Question A5.2) where the project's construction is to be in more than one Phase.</p> <p>The proposed efficiency of seabed usage should be calculated:</p> <ul style="list-style-type: none"> • by dividing the intended Installed Capacity of the project once fully constructed, by the Option Agreement Area – for Question B2; • by dividing the intended Installed Capacity of the first Phase of the project to be constructed, by the Option Agreement Area – for Question B3. <p>The responses to Questions B2 and B3 must be in MW per km².</p>	<p>In respect of Question B2</p> <p>Band 2: if the intended Installed Capacity is 1 MW per km² or more.</p> <p>Band 1: if the intended Installed Capacity is less than 1 MW per km².</p> <p>In respect of Question B3</p> <p>A Large Application is one where the Installed Capacity of an initial phase of development (or the single phase of development if only one is intended) required to achieve a density of development of at least of 1 MW per km² across the Option Agreement Area is greater than 500 MW.</p> <p>Band 2:</p> <p>(i) if not a Large Application, the intended Installed Capacity divided by the Option Agreement Area on completion of the first phase is 1 MW per km² or more.</p> <p>(ii) for a Large Application, the Installed Capacity of the first phase must be 500 MW or more.</p> <p>Otherwise a Band 1 will be awarded.</p>
B	4	Please refer to Question B1.	Summary of PPC	<p>We need you to summarise your Preferred Project Concept (PPC). Whilst the DPFS (Question B1) might cover a range of possible project concepts, the response to Question B4 covers only the preferred one.</p> <p>The summary must include the following:</p> <ul style="list-style-type: none"> • proposed project capacity, • Option Agreement Area and location, and • the preferred wind farm area within the Option Agreement Area. 	Please refer to Question B1.

B	5 – 7	Please refer to Question B1.	Preliminary turbine, foundation type and layout	<p>Questions B5, B6 and B7 ask for specific details of the information covered in the DPFS (Question B1) to assist reviewers in consistently identifying the relevant material when scoring applications. It is acceptable for the response to these questions to be direct references back to specific sections of the DPFS (Question B1), or additional information may be provided.</p> <p>Turbines and foundation types identified at the application stage need not be commercially available at the date of application but should be appropriate for the proposed location and project timescales.</p> <p>The response to Question B5 must cover the rotor diameter, hub height, rated wind speed and proposed capacity in MW of your preliminary turbine selection. Suitability for the selected site must be demonstrated in the response.</p> <p>The response to Question B6 must cover the foundation type(s) proposed. Suitability for the selected turbine type and site must be demonstrated in the response.</p> <p>The response to Question B7 must summarise the factors that you considered to determine the proposed layout of the array (including spacing between turbines) with respect to the site characteristics, preliminary turbine selection and preliminary foundation type(s) proposed.</p>	Please refer to Question B1.
B	Overall				The overall coarse grade for Part B is Band 1 if a coarse grade of Band 1 is given for any of the separately scored questions (or groups of questions), and is Band 2 if Band 2 is achieved for every separately scored question (or groups of questions).

Section 7

Completing Part C – Project Delivery Plans

Minimum score: Band 1

Maximum score: Band 3

Our aims in Part C

We want to assess whether you understand, and can describe, the process of developing your proposed offshore wind project concept through to a consented project that will be capable of being financed and constructed.

Overview of the information we request

We ask for project delivery information in three parts: securing key project consents (Question C1), securing consent for onshore grid connection or alternative energy offtake route (Question C2) and taking the project from securing consent through to Financial Investment Decision (FID) (Question C3). The Project Delivery Plans (PDPs) provided in response to Questions C1 and C2 should cover the activities up to the point of consent only. The three Project Delivery Plans should contain sufficient detail to illustrate your knowledge, and to provide a description of the activities on which the Development Budget (assessed in Part E) has been based. The PDPs are evaluated with reference to the information provided in Part B by the DPFS about the site and the intended project, to ensure that the planned activities in the PDPs relate to and are consistent with the site specifics of the intended project. Please note it is a requirement that the specifics of developing the proposed site are discussed, rather than presenting a more generalised discussion of the process of developing an offshore wind project.

Scoring Part C

Your responses to Questions C1 - C3 are evaluated together, with one grade awarded for all three questions.

The scoring shall be as follows:

Band 3	Response to the questions contains excellent information to demonstrate your project delivery plan with comprehensive detail on most of the key areas suggested in the guidance.
Band 2	Response to the questions contains satisfactory information to demonstrate your project delivery plan covering, in an acceptable level of detail, the majority of the key areas suggested in the guidance but the answers could have been more detailed, or enhanced in a number of respects, or more key areas covered.
Band 1	Response fails to satisfactorily set out your project delivery plan or answer the key areas suggested in the guidance.

Part C detailed guidance

Part	Question No	Question	Guidance
C	1	Offshore PDP	<p>Please describe how you would progress the project, as identified in the DPFS, through to the stage of obtaining key project consents, covering:</p> <ul style="list-style-type: none"> • Offshore PDP key steps: You should provide detail within the PDP on how you propose to progress the project from a preliminary concept to one of sufficient definition to enable key project consents to be obtained, including the steps planned to secure the required resources (although detail of the resourcing itself does not need to be provided here since that is covered in Part D). • Risk mitigation: The PDP should draw on information gained from the DPFS and identify how the Applicant proposes to mitigate any risks identified in the risk register. In this respect, the Applicant should submit a risk mitigation matrix or similar. • Stakeholder plan: The PDP should identify any key stakeholders that may be consulted during the development of the project. • Team: The PDP should include an outline project delivery team, and description of roles envisaged to take the project to key consents. • Technical (studies/design stages): The PDP should describe the engineering and technical studies which would be required to inform the design envelope for the project. • Environmental surveys/studies: The PDP should describe those studies required to inform the baseline and assessment of the potential impact upon receptors within the Environmental Impact Assessment process. • Scoping and Consent submission: Description of key consents required and how and when they will be obtained. • Route to market for energy production: The PDP should identify the Applicant's proposed route to market and any steps taken/identified at this stage to ensure the project is maximising its chance of success in the proposed route. • Grid capacity: The PDP should refer to the Applicant's approach to identifying the required grid capacity and connection location if applicable (with detail of the onshore activities to be covered in response to Question C2). • Timeline Gantt chart: The PDP should include a project development timeline that provides timescales and durations, along with interdependencies of identified activities shown as a Gantt chart.
C	2	Onshore PDP	<p>If the project concept includes an onshore grid connection, please provide a PDP for onshore grid connection works.</p> <p>The Onshore PDP should provide:</p> <ul style="list-style-type: none"> • an overview of the project description, explaining the engineering, technical and environmental studies to develop the onshore works to point of consent; and • an approach to securing grid capacity for the project and consent for the onshore grid connection works as required from the relevant planning authority. If, at this stage, exact location and details are not known, please outline your overall approach in order to achieve onshore grid connection and consents. • Applicants should outline any risks, either general or specific, associated with the development of any onshore works (which are additional to those identified in response to Question B1 and whose mitigations will therefore have been discussed in response to Question C1), and the approach to mitigating these. • Applicants need to ensure that all aspects of the project to connect the offshore development to the grid network (or other route to market) are considered. <p>If the project concept does not include an onshore grid connection, please provide a PDP relating to the energy offtake arrangements that will be developed, to a similar level of detail to that set out here for the case where onshore grid connection works are being developed.</p>

C	3	PDP to FID (offshore & onshore)	<p>Please provide a PDP for the activities required to progress your project from key project consents to FID.</p> <p>Capex and Opex information is not requested and will not be evaluated. However, in order to progress your project to FID, an understanding of Capex and Opex may be required. The PDP to FID could therefore include activities related to forming an understanding of these elements.</p> <p>This PDP should provide details of the further engineering, technical work and procurement required to achieve FID, through reference to the work packages the Applicant considers are required to progress from key consents to FID. The response should consider both offshore and onshore (or other applicable energy offtake solution) work required in this stage of the project.</p> <p>FID will require the Applicant to have secured a route to market for the energy production from the project (via a successful Contracts for Difference (CfD) tender, or to have secured an alternative route to market) and thus have a well-defined bankable economic model. We expect these aspects to be detailed in the PDP to FID.</p>
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Section 8

Completing Part D – Capability and Experience

Minimum score: Band 1

Maximum score: Band 3

Our aims in Part D

Crown Estate Scotland wishes to evaluate prior experience and current and planned future capability of the Lead and Sole Applicant/Project Partners in up to five categories:

Category 1 – Health & Safety

Category 2 – Environment

Category 3 – Project Delivery

Category 4 – Technical Expertise

Category 5 – Quality Assurance & Quality Control

We need to be satisfied that the Lead and Sole Applicant/Project Partners have sufficient breadth and quantity of past experience to satisfy our minimum requirements.

We compare the planned breadth of capability and amount of resourcing that will be arranged for the project with our view of what would be required.

We evaluate the capability that is currently available to the Lead and Sole Applicant/Project Partners, and the arrangements for completing and maintaining the required resourcing.

Overview of the information we request

Questions D1, D2 and D3 focus on the Relevant Experience of the Lead and Sole Applicant/Project Partners, to understand:

- the experience they have gained with reference to the Main Experience Categories and Experience Sub-categories provided below,
- the applicability to the proposed project of the Relevant Experience,
- the amount of experience in Person-years per Main Experience Category, and,
- any evidence of the effectiveness of delivery of previous work

When completing Questions D1 – D3, we want Applicants to provide information on Relevant Experience only. Relevant Experience is defined in the Offer Document.

Questions D4 – D6 address the capability of the Lead and Sole Applicant/Project Partners to deliver the proposed project, with reference to the Main Capability Categories and Capability Sub-categories provided below and include consideration of the amount of resource required to deliver the intended project.

Where there are several Project Partners it is not a requirement that each or any of them has all of the required past experience, but the required experience should be demonstrated across the Project Partners when taken together.

Please note that Experience/Capability referred to in any part of Part D for any Project Partner (including Supplementary Experience Providers) will only be taken into account if supported by the production of the Board level or equivalent commitment as required in Question G1.

List of Main Experience/Capability Categories and Sub-categories

Main Experience/Capability Categories	Experience Sub-categories	Capability Sub-categories
1. H&S	<p>Accreditation Advice/Consultancy Management Systems Monitoring, recording and analysis of incidents, and/or production of statistics relating to H&S performance Policy/Regulations Risk Assessment/Management Training Provision</p>	<p>Management Systems Monitoring, recording and analysis of incidents, and/or production of statistics relating to H&S performance Policy/Regulations Risk Assessment/Management Training</p>
2. Environment	<p>Advice/consulting Assessments e.g. Environmental Statement (ES), Environmental Impact Assessment (EIA), Habitats Regulations Assessment (HRA), Water Framework Directive (WFD) Consenting activities (other than ES, EIA, HRA, WFD) Measurement/monitoring Policy/regulations Research Surveys</p>	<p>Assessments e.g. ES, EIA, HRA, WFD Consenting Activities (other) Surveys</p>
3. Project delivery	<p>Finance Governance Legal Logistics Procurement Project Management Project Risk Analysis and Mitigation Scheduling/Planning Stakeholder Engagement</p> <p>Where an individual application involves Project Partners – you should also demonstrate your experience in:</p> <p>Acquisition/merger Consortium Franchise Joint Venture</p>	<p>Finance Legal Procurement Project Management Project Risk Analysis and Mitigation Scheduling/Planning Stakeholder Engagement</p> <p>Where an individual application involves Project Partners – you should also demonstrate your capabilities in:</p> <p>Acquisition/merger Consortium Franchise Joint Venture Sub-contracting/outsourcing</p>

4. Technical expertise	Aerospace/Aeronautical Engineering Wind turbines - materials, performance and resource assessment Civil Engineering – onshore and offshore Construction – onshore and offshore Instrumentation, Control and Automation Electrical Engineering Environmental Science Mathematics/Statistics Materials Science Mechanical Engineering Manufacturing Services	Wind Turbines - materials, performance and resource assessment Cable Routing/Laying Civil Engineering – onshore and offshore Construction – onshore and offshore Electrical engineering (infrastructure) Instrumentation, Control and Automation Foundations/Geotechnics Hydrodynamics Logistics Manufacturing Substructures – floating and/or fixed
5. Quality Assurance and Quality Control	Auditing Inspection Monitoring, recording and analysis of data and/or production of statistics relating to Quality Assurance/Quality Control performance Quality Assurance Quality Control Quality Management Systems Testing	Quality Assurance Quality Control Quality Management Systems

Part D detailed guidance

Part	Question No	Minimum/ Maximum Scoring	Question	Guidance	Evaluation and Scoring
D	1	Questions D1 and D2 are evaluated together. Minimum: Band 1 Maximum: Band 3	Breadth of Experience	<p>The response should describe the Relevant Experience of all Project Partners identified as having a Capability and Experience role in Question A9.</p> <p>The response should include reference to Experience Sub-categories detailed in the table above. Please be as specific as possible when referring to Experience Sub-categories.</p> <p>Relevant Experience evidenced by reference to projects:</p> <p>Please describe the Relevant Experience with reference to up to eight projects undertaken in the last ten years. Include the following information in the description, focused on the specific project scope which the Lead and Sole Applicant/any Project Partner were leading the delivery of (rather than the entire scope of any wider project):</p> <ul style="list-style-type: none"> • The project description; • The Project Partner(s) who led the project; • Any other organisations involved in the project; • A summary of the project scope; • Timescales, and approximate budget; • Which of the Experience Categories and Sub-categories were covered by the scope; and • A statement of the project outcomes and assessment of the success of delivery, which must include supporting evidence to be given credit. <p>Relevant Experience not evidenced by reference to projects:</p> <p>Any other type of Relevant Experience that is not specific to the identified past projects (i.e. corporate and individual) should be provided, including the information set out in the bullet points above where relevant. This should be clearly identified as either corporate or individual experience. There is no limit to the numbers of individual or corporate experience that can be provided as long as the total page limit of eight A4 pages is not exceeded.</p> <p>Supporting evidence relating specifically to statement of the project outcomes:</p> <p>Supporting evidence is only required in relation to any statement that is made about project outcomes as referred to in the final bullet point above. Supporting evidence must be no more than 24 pages and could include but is not limited to:</p> <ul style="list-style-type: none"> • Letters of support/recommendations from previous clients; • Positive feedback from stakeholders; • News articles reporting successful part- or full- project delivery or positive stakeholder engagement activities; • External audits or reviews demonstrating that the project was delivered to budget and/or to planned schedule; • Health and safety records; 	<p>This question will be scored as follows:</p> <p>Band 3: awarded where your responses are excellent, demonstrating excellent experience covering a significant majority of the Experience Sub-categories.</p> <p>Band 2: awarded where your responses are satisfactory and demonstrate acceptable experience covering the key Experience Sub-categories, but such experience could be enhanced in multiple aspects.</p> <p>Band 1: awarded where your responses demonstrate limited experience in the areas of experience required to deliver the project.</p>

				<ul style="list-style-type: none"> • External design/construction/project nominations and awards; • Evidence of repeat business (e.g. further contracts with the same organisation); • Patent awarded as a result of a novel engineering solution being developed as part of a wider project; • External funding secured to develop Intellectual Property (IP) generated during a wider project. <p>Any supporting evidence of project outcomes should be submitted as part of the response to this question only and applicants should not refer to other documentary evidence provided in the response to other questions in the application. Please note that internal documents and self-generated material that are not subject of direct recognition from an external party will not be accepted as supporting evidence relating to project outcomes.</p>	
D	2	Evaluated with Question D1	Additional Sub-categories	<p>We anticipate that the Experience Sub-categories that we have identified are comprehensive enough to enable Applicants to allocate within that framework all the Relevant Experience they have.</p> <p>However, if an Applicant has Relevant Experience under one of the five Main Categories but which does not fall within the pre-defined Sub-categories, then it may put forward additional sub-categories to enable them to present all the experience relevant to their application.</p> <p>Applicants should avoid nominating additional Experience Sub-categories unless a particular piece of experience cannot be allocated to an existing Experience Sub-category. If an additional Experience Sub-category is nominated, reviewers will scrutinise closely all the experience put forward to determine whether a new nominated sub-category better matches other experience that has been put forward in a pre-defined Sub-category.</p>	Please refer to Question D1.

D	3	Minimum: Band 1 Maximum: Band 2	Person-years Experience and Experience Categories	<p>The response to Question D1 provides a description of the Experience of the Lead and Sole Applicant / Project Partners that have a Capability/Experience role. The response to Question D3 sets out the number of Person-years Experience which each of the Project Partners (or the Lead and Sole Applicant) have acquired from the activities described in D1. The response to D3 also explains the relevance and applicability of that experience. The response should set out the Person-years Experience of all Project Partners identified as having a Capability and Experience Role in Question A9 with reference to the five Main Experience Categories.</p> <p>We do not wish the administration of an application to be excessively involved in situations where what is effectively a coherent corporate group will contribute towards an application, but where that group is structured with several legal entities. In that situation, if the Project Partner given in A9 (and therefore making the commitments in Part G and providing capability and experience in Part D) is at a level where it is a direct or indirect parent of all the other contributing entities within the corporate group and is in a position to call upon the resources of the subsidiaries and enforce the commitments given by it in Part G, then only that one organisation need be included in A9 for that Project Partner.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>Column 1 identifies the Project Partners with a Capability and Experience role (as identified in Question A9).</p> <p>Column 2 must detail the source of Relevant Experience. Applicants must ensure that this is from one of the three sources listed in the definition of Relevant Experience included in the Offer Document (project, corporate, individual). Experience should be substantiated by reference to projects where that is possible. We include the possibility of the other two categories to cater for situations where experience was not acquired in a project setting, or where it was acquired via numerous diverse projects. In these instances, it would be more straightforward to present the experience as corporate or individual in nature. Only if an individual did not participate in any of the up to eight projects included in the response to Part D can their experience be put forward on an individual basis.</p> <p>Column 3 must detail which of the Main Experience Categories the Person-years Experience information relates to. Applicants should not detail an Experience Sub-category in this Column as this question requires information relating to Main Experience Categories only.</p> <p>Column 4 requires Applicants to indicate how applicable the Relevant Experience is to the intended project. The applicability of the Relevant Experience should be defined according to the following guidance:</p> <ul style="list-style-type: none"> • High: Offshore wind projects of a scale comparable to, or greater than, the intended project. • Medium: Other types of offshore projects (of any scale), other types of renewable energy projects (of any scale). • Low: Other types of projects of similar scale (as indicated by total capex value, total tonnes of material, or alternative appropriate comparator). <p>When indicating how applicable the Relevant Experience is, please note:</p> <ul style="list-style-type: none"> • Project experience from the eight referenced projects can be high, medium or low (according to the descriptions above); 	<p>To pass this question, i.e. achieve Band 2, the amount of past experience provided (in Person-years Experience) must meet our minimum requirement under each of the applicable Main Experience Categories separately, otherwise a Band 1 will be awarded.</p> <p>The minimum amount of experience in order to achieve Band 2 and pass this question (measured in Person-years Experience) is:</p> <ul style="list-style-type: none"> • H&S – 10 • Environment – 10 • Project delivery: <ul style="list-style-type: none"> – General project delivery - 15 (in all cases) – If Project Partners, but not if Lead and Sole Applicant, an additional 1 year of experience is required in project delivery in a partnership setting • Technical – 20 • QA & QC – 4 <p>In assessing whether the amount of experience provided meets these minimum requirements, we will give greater weight to experience which is more applicable to offshore wind project development.</p> <p>The weighting factors which we will apply, according to the responses given in D3 Column 4 are:</p> <ul style="list-style-type: none"> • 1.1 for High applicability; • 1.0 for Medium applicability; • 0.9 for Low applicability.
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			<ul style="list-style-type: none"> • Corporate experience should only ever be rated as low; and • Individual experience should be referenced to the applicability category where the individual has spent the majority of their experience, i.e. if an individual has 12 Person-years Experience in environmental activities and seven were of low applicability, four were medium and one high applicability, then their experience should be rated low <p>Column 5 details the number of Person-years Experience associated with the Project Partner and Main Experience Category. The Person-years Experience for each row in the table can have contributions from multiple individuals. To calculate Person-years Experience under the three Relevant Experience sources, the following principles should be applied:</p> <ul style="list-style-type: none"> • Project experience should only be considered over the time frame of the eight referenced projects, and for a maximum of ten years, e.g. if an individual who has 15 years' experience in Project Delivery spent five years on the referenced project in a Project Delivery role, they would contribute five Person-years' Experience. Their additional ten years' experience would not be counted. • Corporate experience should only be included over the last five years e.g. if a corporate Health & Safety team employed three individuals full time for a period of at least five years then they would contribute 15 Person-years Health & Safety experience. Any earlier years would not be counted, regardless of those individuals' previous experience with any employer. • For any individual resource listed in Question D5 their entire period of relevant experience would be counted, e.g. if an individual had 12 years of relevant Technical experience then they would contribute 12 Person-years Experience; in completing this section, it should be noted that (as per the definition of Relevant Experience) an individual whose experience derives from one of the projects put forward as evidence of project experience may not also be included on an individual basis. We wish the evidence of experience to be primarily via the projects, and only include the possibility of experience being put forward on an individual basis to allow recognition of experience for Applicants which rely upon individuals rather than projects for the necessary experience. <p>Person-years Experience for any individual should relate only to the experience they have gained during their working career, project or time in a corporate role as referenced to a specific Main Experience Category, e.g. if an individual has been working for 18 years in the energy industry, of which five years were spent leading relevant Environmental activities, then they contribute five Person-years Experience to the Environment category.</p> <p>Person-years Experience for any individuals who can contribute to multiple Main Experience Categories should not be 'double counted'. Their total Relevant Experience should be allocated proportionally to each experience category e.g. if any one individual spent ten years developing offshore wind farms and spent 20% of their time undertaking Project Delivery activities and 80% time undertaking Technical activities, then that individual can contribute two Person-years Experience to the Project Delivery category and eight Person-years Experience to the Technical category.</p>	
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				Your response should be expressed in whole numbers of person-years. The total numbers of Person-years Experience associated with your application can be expressed with reference to more than one individual member of your team. However, you must explain within your application how you have reached the Person-years figures provided to us.	
D	4	Minimum: Band 1 Maximum: Band 3	Capabilities	<p>The description should include a breakdown of the activities expected to be undertaken for the duration of the project (i.e. as covered by the Gantt chart in Question C1 and the responses to Questions C2 and C3) and what capabilities are expected to be required to complete the activities.</p> <p>This breakdown should cover the five Main Capability Categories and make reference to the applicable Capability Sub-categories detailed in the table above. Please be as specific as possible when referring to Capability Sub-categories covered within the response.</p> <p>This capability description should cover the team structure within the Lead and Sole Applicant/any Project Partner and how activities related to those capabilities will be distributed within the team and across any Project Partners.</p>	<p>This question will be scored as follows:</p> <p>Band 3: awarded where your responses are excellent, demonstrating an excellent level of understanding and covering the significant majority of the capabilities required to deliver the project.</p> <p>Band 2: awarded where your responses are satisfactory, demonstrating an acceptable level of understanding and covering most of the capabilities required to deliver the project but the response could be enhanced in multiple aspects.</p> <p>Band 1: awarded where your response provided limited understanding of the breadth of capability required to deliver the project.</p>

D	5	Minimum: Band 1 Maximum: Band 2	Resource plan	<p>The resource plan should set out how the Lead and Sole Applicant/Project Partners plan to resource the necessary capabilities detailed in response to Question D4.</p> <p>We require a resource plan for all of those resources who are either directly employed, contracted or sub-contracted to any Project Partner, and fulfil a role in leading, managing or supporting the management of the development of the intended project. This resource plan should exclude specialist resources which are not involved in leading or managing the development, such as those resources undertaking surveys, or assessments. This resource plan must also exclude any wider business/office support staff not directly involved in the provision of services to the intended project.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>Column 1 must identify which of the five Main Capability Categories the Resource Plan information relates to. Applicants should not detail a Capability Sub-category in this Column.</p> <p>Column 2 requires confirmation whether the role is a Lead Resource or not. Please see the definition of Lead Resource in the Offer Document, no more than ten Lead Resources should be identified.</p> <p>Column 3 should provide the role description, taking into account the resources we expect to be included in this resource plan as described above.</p> <p>Column 4 should provide the name of any individual who will be a Lead Resource that is currently identified. It is not a requirement at this stage to have identified post-holders or providers of contracted services. For role descriptions that are not Lead Resources, it is not necessary to provide named individuals. If the Lead Resource is not yet identified, or the role description is not a Lead Resource, please complete Column 4 with 'N/A'.</p> <p>Column 5 should confirm that a CV (maximum two pages per individual) has been provided for an identified Lead Resource. Please ensure that the CV details the experience related to the Main Capability Category(/ies) the role description/person has been assigned. Where the Lead Resource has not yet been identified, please provide a role profile outlining the Main Capability Categories that will be sought when the Lead Resource is arranged. For roles that are not Lead Resources, it is not necessary to provide CVs/role profiles. If the role description is not a Lead Resource, please complete Column 5 with 'N/A'.</p> <p>Column 6 identifies the Project Partner with a Capability and Experience role (as identified in Question A9) that the resource will be secured from.</p> <p>Column 7 provides a breakdown of the Full Time Equivalent (FTE) needed to resource the role for the duration of the project (i.e. as covered by the Gantt chart in Question C1 and the responses to Questions C2 and C3). Please see the definition of FTE in the Offer Document for more information on how to calculate this figure.</p> <p>Column 8 provides a figure reflecting the Cumulative FTE needed to resource the role. Please see the definition of Cumulative FTE in the Offer Document for more information on how to calculate this figure.</p>	<p>This question will be scored as follows:</p> <p>Band 2: The Total Cumulative FTE provided in relation to each of the five Main Capability Categories in the resource plan must demonstrate an acceptable understanding of the quantity of each of these capabilities required to deliver the project.</p> <p>Band 1: awarded where the Total Cumulative FTE provided in the resource plan is below the quantity of capability required to deliver the project.</p>
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				Applicants must only provide disaggregated Cumulative FTE information, i.e. on an individual basis, for those roles that are identified as Lead Resources. Cumulative FTE information for roles that are included in the Resource Plan, covering the same Main Capability Category, that are not categorised as Lead Resource, can be recorded as aggregated figures in a single additional row.	
D	6	Minimum: Band 1 Maximum: Band 3	Appointing resources and future risks	<p>We want to know how the Applicant will appoint Lead Resources and mitigate against any future resource risk for the duration of the project (i.e. as covered by the Gantt chart in Question C1 and responses to Questions C2 and C3).</p> <p>Appointing Lead Resources Where a role description has been identified for a Lead Resource position, but a named individual has not yet been assigned to the role, please describe how you plan to resolve this. If all Lead Resource positions have a named individual assigned, Applicants should only answer the ‘future resource risk’ element of this question.</p> <p>Future resource risk Please provide details of the approach to address potential future resource risk for the duration of the project, considering the Main Capabilities necessary to deliver the activities in Part C. For each future resource risk, provide a mitigation strategy so that the project will be fully resourced.</p>	<p>This question will be scored as follows:</p> <p>Band 3: awarded where your responses are excellent, demonstrating either all Lead Resource positions have a suitable named individual assigned in the response to Question D5 or providing a detailed solution to appointing suitable individuals to any Lead Resource positions which do not have a named individual assigned. The response will also provide a comprehensive assessment of potential future resource risk – referencing Main Capability Categories and necessary Lead Resource – and a detailed risk mitigation strategy.</p> <p>Band 2: awarded where your responses are acceptable, providing a solution to appointing suitable individuals to those Lead Resource positions shown in the response to Question D5 which do not have a named individual.</p> <p>Band 1: awarded where the Resource Plan given in response to Question D5 showed that Lead Resource position(s) do not have suitable individuals assigned to them and limited detail is provided on how suitable individuals will be appointed.</p>
D	Overall				<p>The overall coarse grade for Part D is Band 1 if a coarse grade of Band 1 is given for any of the separately scored questions (or groups of questions), is Band 3 if Band 3 is achieved for every separately scored question (or groups of questions) where Band 3 is available, and is Band 2 otherwise.</p>

Section 9

Completing Part E – Development Budget

Minimum score: Band 1

Maximum score: Band 2

Our aims in Part E

Crown Estate Scotland requires the Applicant to explain the level and breakdown of the financial resources required to progress the proposed project concept to a consented project, and towards FID for construction.

Overview of the information we request

The budget should be provided in million pounds sterling (GBP) (£M). Applicants are asked to provide all costs in nominal money (i.e. money of the day terms) and assuming commencement of development expenditure in 2021. Please provide this in PDF or Word format documents, not Excel or other numerical software packages (except where tables in the portal version of the Application Form are configured to receive Excel data style entry).

Part E detailed guidance

Part	Question No	Minimum/ Maximum Scoring	Question	Guidance	Evaluation and Scoring
E	1	Minimum: Band 1 Maximum: Band 2	Detailed budget	<p>Please provide a detailed budget for progressing the project proposed in the project concept (Part B), detailed in the offshore and onshore PDPs (Questions C1 and C2) and aligned with the resourcing plan set out in Part D.</p> <p>The budget should contain costs for at least:</p> <ul style="list-style-type: none"> • Engineering and technical disciplines for both onshore and offshore infrastructure: <ul style="list-style-type: none"> – Collation of data including relevant site surveys (such as metocean, geotechnical, geophysical, wind, etc) up to consent – Engineering design studies to allow creation of a concept design and design envelope suitable to inform and enable all required consent applications – Management of the above • Environmental and consenting activities for both onshore and offshore infrastructure: <ul style="list-style-type: none"> – Collation of data including relevant site surveys (including physical, human and biological receptors) to inform an EIA baseline – Production of an Environmental Statement including undertaking appropriate studies – All statutory and non-statutory consultation and engagement – Preparation of consent documentation – Management of the above • Project Management and coordination of the development work to consent including: <ul style="list-style-type: none"> – Risk management, scheduling and wider project management office activities – Health, Safety and Environmental management – Quality management – Procurement and commercial functions <p>The budget should identify the expected annual development expenditure for each year of activity. The budget should also state the total development expenditure for the project. Direct staff costs should be included in the budget whether staff are (or will be) employed directly by the Project Partners/Lead and Sole Applicant, or will be sourced via subcontracting arrangements. Costs should be identified as either direct staff costs or where appropriate as subcontracted work packages/services/contracts. Where work is subcontracted, the cost to the project should be included in full.</p>	<p>In order to pass this question, i.e. achieve Band 2, the level of development budget must relate to activities described in Questions C1 and C2 of the Application Form (Offshore PDP and Onshore PDP) and the connection between the budget breakdown and the activities in the PDPs must be clear</p> <p>Band 1: awarded where the level or build-up of development budget does not relate to activities described in Questions C1 and C2 of the Application Form (Offshore PDP and Onshore PDP).</p>

			<p>If the budget includes any of the following items then please ensure that they are separately identified and are not aggregated with other items:</p> <ul style="list-style-type: none"> • Overhead costs in terms of office buildings, office support staff etc. Please limit staff costs to the direct employment costs of those involved directly in the provision of services to the project. • Land agreement costs, including compulsory purchase costs, for establishing rights for onshore infrastructure. • Grid connection application costs, deposits, security arrangements. <p>It is recognised that different Applicants may plan to collect wind and metocean data at different stages in the project development lifecycle. However unless such data collection has already been completed, please provide an indication of the approach and timing proposed, and associated costs, for wind and metocean data collection on the basis that this will occur within the consenting stage of the development budget regardless of whether your actual intention is to do it within this stage or later. If wind and metocean data collection have been fully completed, it is acceptable to exclude them from the budget given in response to Question E1, but the position should be explained under Question G2.</p> <p>In competing situations, additional credit is given in the detailed numerical score for a development budget which exceeds our selected detailed scoring turning point, up to a level above which no further credit is given. This means that a project with a higher development budget may be more likely to be successful in competing situations, provided the composition of the budget is judged to clearly show the connection between the budget breakdown and the activities in the PDPs. The balance of whether budget allowance is allocated as a global contingency line, or with contingency built into the budget for each activity, will not have a material impact on how an application is scored.</p> <p>If the project is intended to be developed in more than one Phase of activity, the budget should cover the activities described in Questions C1 and C2 of the Application Form (Offshore PDP and Onshore PDP) for all of the Phases of development which will be required in order to complete the development and consenting of the full intended capacity of the project. The budget should not just provide for an initial Phase of development.</p>	
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E	2	Minimum: Band 1 Maximum: Band 2	Outline budget – to FID	<p>In order to ensure the Applicant has fully considered all development expenditure in progressing the project, please also provide separately an outline annual and total budget from key project consent award to FID. The level of detail for this stage should provide sufficient information to identify the costs associated with engineering, environmental, project management and financing activities required to take the project to FID.</p> <p>Consistency with Question C3, and completeness of coverage of the activities set out there, are scored. The level of budget in E2 is not scored directly (in contrast to E1 where the level is scored). Whilst the budget level is not scored directly, if an item in the budget has an associated spend which does not appear reasonable by reference to usual industry practice, and such departure from typical costs is not explained, that budget item might be interpreted as not corresponding to or being sufficient to deliver the activity set out in C3. Therefore, where budget levels given in E2 may differ from usual industry practice, it is prudent to give an explanation of the basis for the budget level.</p> <p>If the project is intended to be developed in more than one Phase of activity, the budget should cover the activities described in Question C3 of the Application Form for all of the Phases of development which will be required in order to complete the development and consenting of the full intended capacity of the project. The budget in this section should not just provide for an initial Phase of development.</p>	<p>In order to pass this question, i.e. achieve Band 2, the areas and activities covered by the budget must be consistent with those set out in the PDP to FID provided in Question C3.</p> <p>Band 1: awarded where the budget is not consistent with the PDP to FID provided in Question C3.</p>
E	Overall				<p>The overall coarse grade for Part E is Band 1 if a coarse grade of Band 1 is given for either of the separately scored questions, and is Band 2 otherwise.</p>

Section 10

Completing Part F – Developer Financial Resources

Minimum score: Band 1

Maximum score: Band 3

Our aims in Part F

In this Part we want to gather the information we need to establish the adequacy of the financial resources available to the Project Partners or Lead and Sole Applicant, to deliver the project you have described. The information we request covers two topics: financial strength, and ability to secure funding.

Crown Estate Scotland will give higher scores to applications which demonstrate financial strength sufficient to fund the development budget – when accompanied by suitable commitments to devote funds to the development budget – than applications which rely on future fundraising. ScotWind Leasing has been designed to cater for projects which rely on project finance and other avenues to fund the development budget so it is possible to satisfy our minimum requirement by providing evidence of ability to raise funding. Funding Organisations which need to raise funds to cover more than 35% of their funding responsibility, however, cannot achieve a coarse grade as high as those which already have access to funds or have adequate financial strength.

Overview of the information we request

We are assessing each individual Funding Organisation, so your responses to Part F should reflect that each organisation is under scrutiny separately, to test its ability to fund the share of the development budget that is allocated to it in the response to Question F2. Care should be taken that the level of funding that each Funding Organisation has allocated to it is in line with its capabilities to meet our requirements in Part F.

Even if the Funding Organisations would, as a group, have the ability to demonstrate access to the required total funding level, if evidence is not provided to give Crown Estate Scotland confidence that the availability of funding of any one of the Funding Organisations is sufficient to meet the funding level allocated to it in the response to Question F2, Part F, then the entire application will receive a coarse grade of Band 1.

Each individual Funding Organisation is assessed by considering four aspects of its ability to fund the project. The assessment of the Funding Organisation is set to the highest grading that it achieves when assessed under each of these four aspects. This means that a Funding Organisation only needs to meet the requirements of those of the four aspects which are relevant to the funding sources stated for it in response to Question F3. Some aspects will not apply to some Funding Organisations. The four aspects which we consider are:

- (i) financial strength indicated by operating profit from continuing operations;
- (ii) financial strength indicated by Dun & Bradstreet (D&B) rating methodology;
- (iii) financial strength indicated by cash reserves and/or undrawn but committed financing facilities; and
- (iv) evidence of ability to successfully secure finance.

Please provide funding information in million pounds sterling (£M). If funds are held, or supporting evidence is denominated, in a currency other than sterling, please provide information as to the original currency, the exchange rate you have used to convert to pounds sterling, as well as the date and publisher of that exchange rate.

As explained in the detailed guidance below, it is not necessary to present information about every Funding Organisation in response to every question in Part F. Applicants will not be penalised (or gain any advantage) from submitting information under additional financial strength tests which achieve the same or lower score. Information in Part F must not be presented for any Project Partner that is not identified in the response to Question A9 as a Funding Organisation.

Part F detailed guidance

Part	Question No	Minimum/Maximum Scoring	Question	Guidance	Evaluation and Scoring
F	1	Not evaluated or scored directly.	Indicative Summary	<p>Answer required for every Funding Organisation.</p> <p>We are looking for an indicative summary of how you propose to finance the project to take the site up to and including the granting of key project consents, i.e. how you will finance the elements described in Questions C1 and C2 and the budget set out in Question E1.</p> <p>Please include:</p> <ul style="list-style-type: none"> • details of the process you intend to follow in securing the finance required; • the timing and amount of expenditure; • the total site development cost; and • the development cost breakdown by year. <p>The total of the cost breakdown set out in response to Question F1 must equal (or exceed) the development budget amount stated in response to Question E1.</p>	<p>The information provided including the expenditure profile over time will enable the rest of the response to Part F to be evaluated. Transparency and clarity in this response is key.</p>
F	2	Not evaluated or scored directly.	Organisations	<p>Answer required for every Funding Organisation.</p> <p>Please complete the table with accurate information providing a breakdown of funding responsibility in relation to each organisation's share of the total funding requirement. Whilst the details of the funding arrangements may involve varying proportions of funding being met by different organisations at different stages of the project, we base our evaluation on the overall proportion that each will fund.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>The total of the amounts set out in Column 2 must equal 100%.</p> <p>For Column 3, if the Tenant Organisation does not yet exist or the shares in its ownership are not allocated in the way that is intended once an Option Agreement has been entered, please give the intended ownership levels.</p>	<p>The response must identify all entities whose financial status needs to be evaluated in Part F.</p>

F	3	Not evaluated or scored directly.	Funding sources	<p>Answer required for every Funding Organisation.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>Column 2 identifies whether existing cash reserves and/or funding facilities will be relied upon. If they will, further evidence of such arrangements will be required.</p> <p>Column 3 differentiates between funding which has yet to be arranged, and the other sources of financial capability which are: (i) inherent financial strength as tested under Questions F4 and F5 and (ii) arrangements which are already in place (such as those referred to in Question F3 Column 2 and tested further in Questions F6.1, F6.2 and F6.3). Where an organisation has funding responsibility but does not have the financial strength or existing facilities to meet all that responsibility, the proportion of its funding responsibility which will be met through externally arranged sources should be stated here.</p> <p>Where you complete Column 3 of this table to confirm that you intend to source funding from any third party, i.e. from a source beyond the cash reserves and/or funding facilities which are already identified and covered in Questions F6.1, F6.2, F6.3, you must also respond to Questions F7 and F8.</p> <p>An example of how the proportions and absolute figures should be used is as follows:</p> <ul style="list-style-type: none"> • If the total development budget requirement given in response to Question E1 is £100m and Funding Organisation A is to fund £10m of that, then the response to Question F2 Column 2 for Funding Organisation A should be 10%. • Further, if Funding Organisation A has the financial strength to cover £8m of its responsibility, but will need to arrange additional funding to cover the balancing £2m, then the response to Question F3 Column 3 for Funding Organisation A should be 20%. 	<p>The response provides source information in order that the demands which are intended to be made on each funding source by each Funding Organisation are clearly specified.</p> <p>If the level of funding from external sources given in Column 3 is greater than 35% then that Funding Organisation will be assessed only on its ability to secure finance and will not be assessed under the financial strength tests.</p> <p>If the level of funding from external sources given in Column 3 is greater than zero but not more than 35% then that Funding Organisation will be assessed on all four of the financial tests.</p> <p>If the level of funding from external sources given in Column 3 is zero then that Funding Organisation will be assessed on the three financial strength tests and not on its ability to secure finance.</p>
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F	4	Minimum: Band 1 Maximum: Band 3	Audited Accounts	<p>Applicants should complete this section if financial strength indicated by net profit from continuing operations is relied upon to demonstrate financial capability.</p> <p>A Funding Organisation without at least three years of audited accounts must not complete this question.</p> <p>If a Funding Organisation will source more than 35% of its funding from external sources, then information should not be provided for it in response to this question because that Funding Organisation's ability to fund its share of the Development Budget will be assessed from its responses to Questions F7 and F8, not Question F4.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>Column 4 covers information on a Funding Organisation's operating profit from continuing operations before extraordinary items. Operating Profit is profit (as per IFRS definition) excluding financing, tax, and income and expenses from investments. We note that accounting treatment of exceptional items is not fully standardised, but we have decided not to define a complete list of items which we consider 'extraordinary'.</p> <p>We have included reference to extraordinary items qualification to permit adjustment of the net profit for items which may reasonably be considered exceptional, non-recurring or special, as those terms are generally used and accepted in sub-totals of income statements. We ask for this information to be presented as the operating profit from continuing operations before extraordinary items averaged over the most recent three years. The information should be derived from the Funding Organisation's annual reports and inserted in this column. This figure should link directly to audited accounts.</p> <p>Column 5 covers the operating profit from continuing operations put forward in support of this application to ScotWind Leasing. This operating profit, detailed in Column 5, may not be put forward in support of any other application to the same cycle of ScotWind Leasing. A Funding Organisation which does put forward the same operating profit in support of more than one application will not have that aspect of its funding capability recognised in any application. This figure should show the share of the overall operating profit which has been divided up and allocated uniquely to this application to this cycle of ScotWind Leasing for which the entity in question is a Funding Organisation.</p> <p>If an organisation only has a funding role in a single application to this cycle of ScotWind Leasing, the same figure should be entered in Columns 4 and 5 for that organisation.</p> <p>Column 6 should provide a reference to the page number in the annual report from which the operating profit data is sourced.</p> <p>Column 7 covers any relevant information which is not contained or reflected in the accounts to ensure we have a complete, up to date picture. This could include, for example, any operating profit figures re-stated to reflect issues that are known but which are not captured by the accounts.</p>	<p>Responses will be evaluated in respect of each Funding Organisation against the highest annual spend provided in the budget response to Question E1.</p> <p>In order to pass this question, i.e. to achieve Band 2, a Funding Organisation's average operating profit from the last three years must be above a multiple of two of the highest annual spend, otherwise a Band 1 will be awarded.</p> <p>In order to achieve a higher score for this question, i.e. to achieve Band 3, a Funding Organisation's average operating profit would require to be a higher multiplier than five of the highest annual spend.</p>
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F	5	Minimum: Band 1 Maximum: Band 3	Dun & Bradstreet	<p>Applicants should complete this section if the Dun & Bradstreet rating methodology is relied upon to demonstrate financial capability.</p> <p>If a Funding Organisation will source more than 35% of its funding from external sources, then information should not be provided for it in response to this question.</p> <p>A Funding Organisation which does not have a Dun & Bradstreet rating, or whose rating dates from more than two years prior to the date the application is submitted, should not complete Question F5.</p> <p>For those Funding Organisations for which Question 5 applies, the most recent Dun & Bradstreet Risk Indicator and Financial Strength Indicator must be submitted.</p> <p>In the case of a Funding Organisation which has a Dun & Bradstreet report which does not directly provide a Financial Strength Indicator (for example, D&B reports using the D&B “Nordic Triple A” methodology) should be based on the most recent version of that Dun & Bradstreet report to determine the Risk Indicator (using the equivalence defined by D&B at https://docs.dnb.com/reference/ratings/en-US/iso-country/NO (as at April 2021), and the Financial Strength Indicator should be derived from an assessment of Tangible Net Worth using the D&B methodology set out in https://www.dnb.co.uk/content/dam/english/dnb-data-insight/DB_Rating_Guide_2015.pdf (as at April 2021). The Tangible Net Worth data which is used to derive the Financial Strength Indicator via the D&B methodology should be calculated from audited accounts according to International Accounting Standard definitions (Total Assets, Total Liabilities – IAS1, Intangible Assets – IAS 38) (D&B Methodology) and should be in the form of a statement made by a financial auditor, setting out (i) the source of the data used in the calculation, (ii) confirmation that the calculation replicates the D&B methodology for determining Tangible Net Worth and (iii) confirmation that the assessment is a true and fair view of Tangible Net Worth. The financial auditor’s statement and the D&B report should be included as the attachment to the response.</p> <p>An organisation which has a Funding Organisation role in more than one application to this cycle of ScotWind Leasing may provide current Dun & Bradstreet rating methodology information in support of all of them.</p>	<p>Here we are assessing financial strength indicated by Dun & Bradstreet (D&B) rating methodology.</p> <p>In the event that a Funding Organisation provides evidence that its D&B Risk Indicator is 1, 2 or 3, the organisation’s Financial Strength Indicator must be “A”, “1A” or “2A” to pass, i.e. achieve Band 2 in, this financial strength test and must be “3A” or higher to achieve Band 3.</p> <p>In the event that a Funding Organisation provides evidence that its D&B Risk Indicator is 4 or absent, the organisation’s Financial Strength Indicator must be “2A”, “3A” or “4A” to pass, i.e. achieve Band 2 in, this financial strength test and must be “5A” to achieve Band 3.</p> <p>Otherwise a Band 1 will be awarded.</p>
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F	6.1	<p>F6.1, F6.2 and F6.3 are all evaluated together</p> <p>Minimum: Band 1 Maximum: Band 3</p>	Existing facilities	<p>Applicants should complete Questions F6.1, F6.2 and F6.3 if cash reserves and/or undrawn but committed financing facilities is/are relied upon to demonstrate financial capability.</p> <p>If a Funding Organisation will source more than 35% of its funding from external sources, then information should not be provided for it in response to this question because that Funding Organisation's ability to fund its share of the Development Budget will be assessed from its responses to Questions F7 and F8, not question F6.1.</p> <p>If a Funding Organisation does not have cash reserves and/or unallocated but committed drawdown to allocate to this application, then information should not be provided for it in response to this question.</p> <p>The information presented in response to Question F6.1 may not be put forward in support of any other application to this cycle of ScotWind Leasing; if more than one application is being supported then the available funding capacity must be divided and allocated uniquely to each application. A Funding Organisation which does put forward the same funding capacity in support of more than one application will not have that aspect of its funding capability recognised in any application.</p> <p>Question F6.1 is intended to provide an opportunity for Funding Organisations which have pre-existing facilities and resources (of the kind that an investment fund might have) to be able to set out the investment capacity of those. We do not expect that every Funding Organisation will have such facilities.</p> <p>Notes relating to the table that must be completed in response to this question:</p> <p>Column 2 covers cash reserves that are not allocated to any other use. The cash reserves should be in place and available to the Funding Organisation to draw upon, only requiring a decision by the Funding Organisation's investment committee (or other equivalent internal governance arrangement) prior to being released for commitment.</p> <p>Column 3 covers finance facilities which are in place and available to the Funding Organisation to draw upon, without the requirement for negotiation or authorisation by any third party, only requiring a decision by the Funding Organisation's investment committee (or other equivalent internal governance arrangement) prior to being released for commitment. The amounts cited in Column 3 must not be earmarked for, or allocated to, any other purpose by the Funding Organisation.</p> <p>Column 4 is the total of cash, plus facilities which could yield cash, which is considered in the test of financial strength, when compared to the Funding Organisation's share of the total development budget.</p>	<p>Here we are assessing financial strength indicated by cash reserves and/or undrawn but committed financing facilities.</p> <p>The availability of unallocated but committed draw down and/or cash reserves will be assessed as a multiplier of the total development cost to be covered by that Funding Organisation.</p> <p>To pass this financial strength test, i.e. achieve Band 2 in this question, unallocated but committed draw down and/or cash reserves must be at least 1.5 times the amount of total development cost to be covered by that Funding Organisation, otherwise a Band 1 will be awarded.</p> <p>Band 3 will be awarded where a multiplier of more than 5 times the amount of total development cost to be covered by that Funding Organisation is available.</p>
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F	6.2	Please refer to F6.1	Existing facilities (cont)	<p>Applicants should complete Questions F6.1, F6.2 and F6.3 if cash reserves and/or undrawn but committed financing facilities is/are relied upon to demonstrate financial capability.</p> <p>If a Funding Organisation will source more than 35% of its funding from external sources then information should not be provided for it in response to this question.</p> <p>If a Funding Organisation does not have cash reserves and/or unallocated but committed drawdown to allocate to this application then information should not be provided for it in response to this question.</p> <p>The information presented in response to Question F6.2 may not be put forward in support of any other application to this cycle of ScotWind Leasing; if more than one application is being supported then the available funding capacity must be divided and allocated uniquely to each application.</p> <p>Funding Organisations required to respond to Question F6.2 should provide supplementary data and evidence to demonstrate the availability and adequacy of cash reserves and/or unallocated but committed drawdowns which were set out in response to Question F6.1.</p>	Please refer to F6.1
F	6.3	Please refer to F6.1	Existing facilities (cont)	<p>Applicants should complete Questions F6.1, F6.2 and F6.3 if cash reserves and/or undrawn but committed financing facilities is/are relied upon to demonstrate financial capability.</p> <p>If a Funding Organisation will source more than 35% of its funding from external sources then information should not be provided for it in response to this question because that Funding Organisation's ability to fund its share of the Development Budget will be assessed from its responses to Questions F7 and F8, not Question F6.3.</p> <p>If a Funding Organisation does not have cash reserves and/or unallocated but committed drawdown to allocate to this application, then information should not be provided for it in response to this question.</p> <p>The information presented in response to Question F6.3 may not be put forward in support of any other application to this cycle of ScotWind Leasing; if more than one application is being supported then the available funding capacity must be divided and allocated uniquely to each application. A Funding Organisation which does put forward the same funding capacity in support of more than one application will not have that aspect of its funding capability recognised in any application.</p> <p>Please indicate in £M the quantity and timing of un-drawdown banking or other financing facilities which are available (either agreed or for which a firm offer is secured), together with any conditions (such as, for example, cover ratios) set out in the arrangements which control/limit in any way the availability of funds and whether the conditions are fulfilled. Please attach evidence of the existence and status of the facility and of the current and trend position of the organisation(s) regarding any conditions, such as ratios, set out in the funding facilities.</p>	Please refer to F6.1

F	7	<p>Questions F7 and F8 are evaluated together.</p> <p>Minimum: Band 1 Maximum: Band 2</p>	Fundraising (corporate)	<p>Answer required for every Funding Organisation for which fundraising ability is being relied upon to demonstrate financial capability.</p> <p>If a Funding Organisation will source any of its funding from external sources, then information should be provided for it in response to these questions.</p> <p>Please provide details of up to five relevant similar projects for which the Funding Organisation has secured financing in the last ten years. The answer to F7 should explain why the reference project(s) give confidence that fundraising for the proposed project will be successful. Comparability is gauged by those aspects of a project that are important in respect of fundraising, rather than by rules relating e.g. to capacity. Particular weight will be given to experience in secured financing for offshore wind farm projects.</p> <p>For each project please provide the following details:</p> <ul style="list-style-type: none"> (i) Project name and description including project ownership structure (including any relevant changes during the course of the project), capacity, location, technology, start date of the project, date construction was (or is planned to be) completed and current project status. (ii) The Funding Organisation's role in the project and the names and roles of the key staff members involved on the project and confirmation that they are still employed. For key staff members please provide CVs. The maximum CV length is two pages. Where CVs for those individuals have already been provided in Part D, please confirm this with reference to their names and do not duplicate submission. (iii) Overview of project financing requirement. (iv) Funding raised by the Funding Organisation including amount, source, type (e.g. equity, debt, etc), term (if applicable), elapsed time to arrange the funding, date funding was closed and what the funding was used for (e.g. technology development, project development, construction). (v) Name and contact details of a referee. 	<p>Funding Organisations which aim to raise all or part of their development spend from third parties are graded with reference to their corporate experience of successfully securing funding for similar projects.</p> <p>To achieve Band 2 across Questions F7 and F8, it is necessary to demonstrate experience of successfully securing funding for similar projects.</p> <p>Otherwise a Band 1 will be awarded.</p>
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F	8	Please refer to F7	Fundraising (individual)	<p>Answer required for any Funding Organisation for which fundraising ability is being relied upon which has been recently established and so does not have a corporate track-record of fundraising.</p> <p>Where a recently established Funding Organisation's relevant experience is based on senior personnel hired from other companies, please provide details of up to five relevant projects in which senior personnel have played a leading role in securing financing in the last ten years.</p> <p>For each project please provide the following details:</p> <ul style="list-style-type: none"> (i) Project name and description including project ownership structure (including any relevant changes during the course of the project), capacity, location, technology, start date of the project, date construction was (or is planned to be) completed and current project status. (ii) The role of key staff in the project who are now employed by you. For key staff members please provide CVs. The maximum CV length is two pages. Where CVs for those individuals have already been provided in Part D, please confirm this with reference to their names and do not duplicate submission. (iii) Overview of project financing requirement. (iv) Funding raised by the organisation the relevant key staff member(s) were with at the time the fundraising was undertaken, including amount, source, type (e.g. equity, debt, etc), term (if applicable), elapsed time to arrange the funding, date funding was closed and what the funding was used for (e.g. technology development, project development, construction). (v) Name and contact details of a referee. 	Please refer to F7
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F	Overall				<p>The grade awarded for Part F of the application is determined from the grades achieved by all the Funding Organisations, considered together:</p> <ul style="list-style-type: none"> • the overall grade for Part F is Band 3 if the grade for every Funding Organisation is Band 3; • the overall grade for Part F is Band 1 if the grade for any Funding Organisation is Band 1; • otherwise, the overall grade for Part F is Band 2. <p>The grade for each Funding Organisation is determined from the four aspects that are assessed, which are:</p> <ol style="list-style-type: none"> financial strength indicated by net profit from continuing operations (via Question F4); financial strength indicated by Dun & Bradstreet (D&B) rating (via Question F5); financial strength indicated by cash reserves and/or undrawn but committed financing Facilities (via Questions F6.1, F6.2 and F6.3); and evidence of ability to successfully secure finance (via Questions F7 and F8); <p>according to the proportion of the funding that is to be raised from external sources. If the external funding proportion for that Funding Organisation is more than 35% then the Funding Organisation is given the grade determined only by (iv). If the external funding proportion is zero then the Funding Organisation is given the highest grade achieved by it in any of (i), (ii) and (iii). Otherwise, for intermediate levels of external funding, the Funding Organisation is given a grade of Band 1 if it is graded Band 1 under (iv); provided it achieves Band 2 under (iv), the Funding Organisation is given the highest grade achieved by it in (i), (ii) and (iii).</p> <p>Provided responses are given to questions relevant to the funding sources stated for it in response to question F3, lower grades, or no response, to one or more of Questions F4, F5, F6.1 – F6.3, and F7 – F8 do not adversely affect a higher grade achieved by that Funding Organisation in other question(s) they provide answers for in Part F.</p>
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Section 11

Completing Part G – Your commitment to the project

Our aims in Part G

G1 – Statements of Commitment

Other parts of the Application Form examine whether the capabilities, experience and financial resources which are commensurate with proper use of an Option Agreement are available to progress the intended project. Part G seeks a separate Statement of Commitment from each organisation identified in Question A9 that the experience, capabilities and/or resources which are said to be available: are available, and will actually be devoted to developing the intended project in the manner that we require. Our purpose in asking for Statements of Commitment from all the relevant bodies is to establish at this early, but very important, stage that the commitments made in this application, and upon which we are acting in reliance, will be honoured.

G2 – Preparedness

We have included this question to ensure that any significant steps which have been taken to progress the intended project can be taken into consideration during the application evaluation.

Types of preparatory steps which Crown Estate Scotland consider will materially increase the likelihood of the project being developed successfully include:

- Progress with securing a grid connection agreement
- Progress with physical or environmental survey fieldwork
- Progress with consenting milestones
- Progress with onshore/foreshore land agreements

Overview of the information we request

G1 – Statements of Commitment

The Statements of Commitment must be provided at Board level or equivalent and must follow the form set in out in the letter template, which is included in Section 12.

We provide a standard letter template because the commitments we require are uniform and non-negotiable. Each organisation listed in response to Question A9 must include the sections of the standard letter template that relate to their role in the application. Your responses to Question A9 determine which of the template sections each Project Partner/Lead and Sole Applicant should include in the Statements of Commitment.

Part G detailed guidance

Part	Question No	Minimum/Maximum Scoring	Question	Guidance	Evaluation and Scoring
G	1	Minimum: Band 1 Maximum: Band 2	Commitment	<p>Your commitments regarding reputational risk to Crown Estate Scotland and unlawful conduct.</p> <p>There is a risk of damage to Crown Estate Scotland's reputation in the event that an Option Agreement and Lease were awarded in a situation where a Project Partner or a Lead and Sole Applicant is found to have acted unlawfully.</p> <p>In the interests of ensuring we contract with responsible, reputable organisations, we are asking you to confirm in your Statements of Commitment at Board level or equivalent that neither the company/organisation nor any office holder or person with powers of representation, decision or control within the company/organisation have at any time been convicted of any offence of the kind we specify.</p> <p>Your commitments regarding sustainability of offshore wind development in Scotland.</p> <p>We have included an obligation in the response to Part G of the Application Form to commit to undertake activity to develop the supply chain. Through this particular commitment, we require all organisations involved in an application to commit to progressing the intended project in a way which will support the sustainability of offshore wind development projects. With organisations required to secure Board-level approval of this commitment at this early stage of the intended project's development, it ensures senior level buy-in to supply chain development. This commitment is enshrined in the Option Agreement and Lease that successful applicants will be granted and will form a requirement throughout the duration of the agreements.</p> <p>These obligations require agreement holders to:</p> <ul style="list-style-type: none"> • Advertise all opportunities for sub-contractors and suppliers in a way which ensures suppliers for which the opportunities may be relevant, including small and medium sized enterprises (SMEs), are aware of procurement activities related to the intended project. • Alone or in partnership with other successful ScotWind Applicants, establish and actively engage with a supply chain forum - or an agreed equivalent - which will operate to ensure information flow about supply chain needs and opportunities is as effective as possible. • Meet regularly with relevant economic development agencies to inform them of progress, concerns and opportunities regarding their region or companies which they account manage. • Where applicable, provide to Crown Estate Scotland all Supply Chain Plan information at the time it is submitted as part of the Contract for Difference (CfD) eligibility process. <p>The intention is for successful applicants to deliver the intended project in a way which consistently and predictably provides opportunity for the supply chain to understand project requirements.</p>	<p>The coarse grade for Part G is based on the grade of Question G1. All Project Partners/Lead and Sole Applicant must provide the relevant Statements of Commitment for Band 2 to be awarded, otherwise Band 1.</p>

				<p>Your commitments regarding funding</p> <p>The funding commitments in Part G require that the funding is provided to the Tenant Organisation as set out in the application, so that the Tenant Organisation is able to take decisions to commit (or not) the funding that is provided to it in accordance with the commitment given in G1. The commitment requires that funding is made available to the Tenant Organisation, but does not directly mandate that all the available funding must be committed, although the Tenant Organisation must comply with the requirements of the Option Agreement which include that all actions that would be taken by a Reasonable and Prudent Developer must be taken to deliver the Project Programme.</p>	
G	2	This question does not contribute to the coarse grading, but it will be used in respect of the detailed numerical score, see Section 13.	Preparedness	<p>It is not necessary for an Applicant to have completed any preparatory steps beyond those needed to make an application. It is not mandatory that this question is answered.</p> <p>If the Applicant is submitting evidence of preparedness, the evidence should be explained in the response, with additional enclosed pages (if required) to provide evidence that the progress being explained has actually been achieved. Key aspects Crown Estate Scotland would like to be detailed here are how the preparatory steps taken have achieved a saving in cost (or avoiding cost which would be incurred in future as a drawdown from the funding which has been evaluated as part of this application), or elapsed time.</p> <p>Applicants should only submit evidence of preparedness that achieves cost savings of at least £2 million or elapsed time savings of at least 12 months.</p>	Question G2 does not contribute to the coarse grade for Part G but is considered in the detailed numerical scoring.

Section 12

Form of Commitments to be given in Part G

Template letter

Each Project Partner must submit a Statement of Commitment, based on the template letter below. Some parts of the commitment template are required from every Project Partner and others are required only from those Project Partners with specific roles within the application, as identified in response to Question A9. Please note that where the company/organisation or any office holder or person with powers of representation, decision or control within the company/organisation have at any time been convicted of an offence under replacement/amendment legislation to that listed in Appendix 1 to the letter template, this still requires to be disclosed.

Required wording	Role in Question A9
<p>Dear Sirs</p> <p>Scotwind Leasing Statement of Commitments re: [insert application code name]</p> <p>We,</p> <p>[.] [name, company no. (if applicable) and registered office of organisation] refer to the above mentioned application and now confirm the following to Crown Estate Scotland:</p> <ul style="list-style-type: none"> • GC1. We are aware of, and are willing to participate in, this application to Crown Estate Scotland in relation to ScotWind Leasing and the project which is the subject of that application; • GC2. A brief summary of our involvement in the application and the project is [.] • GC3. Insofar as information provided in this application relates to this organisation, we are aware that Crown Estate Scotland are acting in reliance on this information in assessing the application and confirm that it is comprehensive, accurate and up to date; • GC4. Throughout all stages of the project we will comply with applicable Health & Safety law and regulations; • GC5. The acceptance of our application and our involvement in this project does not present a reputational risk to Crown Estate Scotland in that neither this company/organisation nor any office holder or person with powers of representation, decision or control within this company/organisation have been convicted of any of the types of unlawful conduct described in full in Appendix 1 to this letter. If at any time this company/organisation or any office holder or person with powers of representation, decision or control within this company/organisation is convicted of an offence under replacement/amendment legislation to that listed in Appendix 1, we understand that this requires to be disclosed to Crown Estate Scotland; • GC6. Insofar as information in this application about availability of resources – in terms of experience, capability and/or finance - relate to this organisation, those resources are so available and will be devoted to developing the intended project; and • GC7. In developing the project we as [.]* with role[s] as [.]** will aim to progress the intended project in a way which will support the sustainability of offshore wind development in Scotland, as this is explained and defined in the Guidance Notes associated with the application. <p>*please insert one of “Lead Applicant”, “Lead and Sole Applicant” or “Project Partner” ** please insert as many of the following as apply: “Wind Farm Delivery Responsibility”, “Capability/Experience”, “Funding”, “Direct owner of Tenant Organisation”, “Indirect Owner of Tenant Organisation”</p>	<p>Lead and Sole Applicant/each Project Partner</p>

ScotWind Leasing Guidance Notes for the Application Form

<ul style="list-style-type: none"> • FC1. A brief summary of the relationship between the Funding Organisation and the Tenant Organisation: [•] • FC2. Confirmation of the amount(s) set out in our response to Question F6.1 is provided here: [•] • FC3. Our funding for the project to the value defined in response to Part F of the application will be provided in the event that this application is successful. 	<p>Each Funding Organisation</p>
<ul style="list-style-type: none"> • SC1. A brief summary of the relationship between the Supplementary Capability and Experience Provider and the Applicant: [•] • SC2. Confirmation of the resource commitment set out in our response to Question D.5 is provided here: [•] • SC3. We have read the description and account of our experience/capability upon which the Applicant relies in this application and confirm this is accurate and our commitment to the project defined in response to Part G of the application is unconditionally committed in the event that this application is successful. 	<p>Each Supplementary Experience Provider</p>
<p>Yours faithfully, Signed for and on behalf of [•] [name of company/organisation] by: Please formally sign for and on behalf of your organisation here and provide full details of signature to confirm how your company/organisation is bound by this letter as shown at Appendix 2.</p>	<p>Lead and Sole Applicant/each Project Partner</p>

Template Letter Appendix 1 – Reputational confirmation

- (i) Conspiracy relating to participation in a criminal organisation or an offence relating to involvement in/directing serious organised crime (Criminal Justice and Licensing (Scotland) Act 2010)
- (ii) Corruption (within the meaning of the Public Bodies Corrupt Practices Act 1889 or the Prevention of Corruption Act 1906)
- (iii) Bribery or corruption (within the meaning of the Criminal Justice (Scotland) Act 2003)
- (iv) Bribery (within the meaning of the Bribery Act 2010)
- (v) Cheating the Revenue
- (vi) Common law fraud
- (vii) Common law theft/fraud
- (viii) Fraudulent trading (within the meaning of the Companies Acts 1985/2006)
- (ix) Fraudulent evasion (within the meaning of the Customs and Excise Management Act 1979 or the VAT Act 1994)
- (x) Offence re: taxation (Criminal Justice Act 1993)
- (xi) Common law uttering (Scots law term for fraud)
- (xii) Common law attempting to pervert the course of justice
- (xiii) Offences under Counter-Terrorism Act 2008
- (xiv) Money laundering (within the meaning of the Proceeds of Crime Act 2002)
- (xv) Proceeds of criminal conduct (within the meaning of the Criminal Justice Act 1988)
- (xvi) Human trafficking (Human Trafficking and Exploitation (Scotland) Act 2015)
- (xvii) Proceeds of drug trafficking (Drug Trafficking Act 1994)
- (xviii) Any other offence that is set out as an exclusion ground in the Directive 2014/24/EU of the European Parliament and of the Council on public procurement or any subsequent legislation which replaces that.

Template Letter Appendix 2 – Information about signature of the letter

We confirm:

1. The full names of the parties who signed for and on behalf of our company/organisation, including witnesses;
2. What position the signatories hold and how they are entitled to bind the company/organisation;
3. The address of signatories, including witnesses (business address is sufficient);
4. The town and country where they signed; and
5. The date(s) when they signed

Full name of signatory:

Role of signatory: e.g. Director/Company Secretary, witness

Address of signatory:

Location of signature:

Date of signature:

Section 13

The detailed numerical score

In respect of Parts A-G of the application, in addition to the coarse grading bands, a numerical mark will be given to some questions. When applications are tied, the numerical marks will be used to calculate an overall detailed score. The total of that detailed score will allow us to differentiate the applications which are otherwise tied.

Each Part will be allotted the maximum scoring as set out below:

Part	Description	Maximum tie-break score
A	Basic information	Not included in tiebreak
B	Project concept and density	75
C	Project delivery plan	75
D	Capability and experience	125
E	Development Budget	125
F	Developer financial resources	Not included in tiebreak
G	Commitment to the project and preparedness	50
Total detailed mark		450

The mark allocated to each individual question is set out below:

PART B		OVERALL SCORE 75
Question	How the numerical score is calculated	Question Score
B1, B4, B5, B6 and B7	<p>The numerical score will be allocated as follows: A score of 0-75 being allocated, with higher scores attributed to answers which are more comprehensive and provide relevant detail.</p>	75
PART C		OVERALL SCORE 75
Question	How the numerical score is calculated	Question Score
Questions C1-C3	<p>The numerical score will be allocated as follows: For questions C1, C2 and C3 together: A score of 0-53 being allocated where the coarse grade was a Band 2. A score of 54-75 being allocated where the coarse grade was a Band 3. Within each detailed band – higher scores will be attributed to answers which are more comprehensive and provide relevant detail.</p>	75

PART D		OVERALL SCORE 125
Question	How the numerical score is calculated	Question Score
Within each detailed band – higher scores will be attributed to answers which are more comprehensive and provide relevant detail		
D1 and D2. (Experience areas)	A score of 0-35 being allocated.	35
D3. (Experience quantity)	A score between 0 and 25 is given on a pro-rated basis where the score is 0 if the amount of experience is only sufficient to achieve a Band 2, with a score of 25 if the amount of experience is three times that required for a Band 2.	25
D4. (Capabilities required)	A score of 0-19 being allocated where the coarse grade was a Band 2. A score of 20-40 being allocated where the coarse grade was a Band 3.	40
D5. (Resource plan – resource required)	A score between 0 and 25 is given on a pro-rated basis where the score is 0 if the Total Cumulative FTE provided in the Resource Plan is at or below our selected detailed scoring turning point, and the score is 25 if the Total Cumulative FTE provided in the Resource Plan is three times that amount. The detailed scoring turning point is set at 35 Cumulative FTE for a project of intended capacity 100 MW and 60 Cumulative FTE for a project of intended capacity 1,000 MW or above, and pro-rata for intended capacities between 100 MW and 1,000 MW.	25
D6. (Current gaps and future risks)	Not allocated a detailed numerical score.	n/a
PART E		OVERALL SCORE 125
Question	How the numerical score is calculated	Question Score
E1. (Budget for taking the project to the stage of key project consents for the offshore and onshore project elements,i.e. budget for elements described in Questions C1 and C2.)	A score between 0 and 125 is given on a pro-rated basis where the score is 0 if the level of development budget is at or below our selected detailed scoring turning point, and the score is 125 if the development budget is five times that amount. The detailed scoring turning point is set at £20m for a project of intended capacity 100 MW and £30m for a project of intended capacity 1,000 MW or above, and pro-rata for intended capacities between 100 MW and 1,000 MW.	125
PART G		OVERALL SCORE 50
Question	How the numerical score is calculated	Question Score
G2. Non-mandatory (Preparatory steps to develop an intended project which will materially increase the likelihood of the project being developed successfully.)	A score between 0 and 25 is given on a pro-rated basis where the score is 0 if the level of cost saving is £2 million, and the score is 25 if the level of cost saving is £10 million, plus, a score between 0 and 25 is given on a pro-rated basis where the score is 0 if the level of elapsed time saving is 12 months, and the score is 25 if the level of elapsed time saving is 36 months.	50

Section 14

Scoring summary

This section provides a summary of how the coarse grade and detailed numerical score are established for an individual application.

This summary aims to provide background to the scoring logic applied to the evaluation of an application. It brings together information provided throughout these Guidance Notes on the available coarse grades (Band 1, Band 2 and Band 3) for questions alongside information on how the evaluation results contribute to an application's detailed numerical score.

Part	Question	Question – Short description	Coarse grading max score for Question	Coarse grading max score for Section	How do you achieve a Band 3 for this Section?	Question contributes to detailed scoring	%* contribution to detailed scoring per Question	%* contribution to detailed scoring per Section
A	A1	Code name		2	N/A	No	0%	0%
	A2	Shapefile						
	A3	Application area	2					
	A4	Proximity and list	2					
	A5	Intended Capacity (first phase and fully constructed)	2					
	A6	Foundation Type						
	A7	Applicant Valuation	2					
	A8	Option Period						
	A9	Organisations and roles						
	A10	H&S Convictions	2					
	A11	H&S Enforcements	2					
	A12	SMP option area	2					
	A13	Supply chain development statement						

B	B1	DPFS	2	2	N/A	Yes	17%	17%
	B4	Preferred Project Concept						
	B5	Turbine selection						
	B6	Foundation type						
	B7	Proposed layout						
	B2	Efficiency of Seabed	2			No	0%	
	B3	Efficiency of Seabed – first Phase	2			No	0%	
C	C1	Offshore PDP	3	3	Response to the questions contains excellent information to demonstrate your project delivery plans can achieve consents, energy offtake and FID, with comprehensive detail on the majority of the key areas suggested in the guidance.	Yes	17%	17%
	C2	Onshore PDP						
	C3	PDP to FID						
D	D1	Experience	3	3	Responses to Questions D1-2 and D4-6 contain excellent information and demonstrate an excellent level of understanding regarding experience and capabilities required to deliver the project.	Yes	8%	28%
	D2	Additional Experience						
	D3	Person-years Experience	2			Yes	6%	
	D4	Capabilities	3					
	D5	Resource plan	2			Yes	6%	
	D6	Current gaps and future risks	3			No	0%	
E	E1	Budget to key consents	2	2	N/A	Yes	28%	28%
	E2	Outline budget from consents to FID	2			No	0%	0%

F	F1	Indicative finance summary		3	Responses to Question F4-6 contain excellent information demonstrating robust financial strength when tested against the relevant multipliers and Financial Strength Indicators (as detailed in the evaluation and scoring description of each question).	No	0%	0%
	F2	Funding breakdown						
	F3	Funding sources						
	F4	Accounts	3					
	F5	Credit Rating	3					
	F6	Cash Reserves, Supplementary Evidence, Facilities	3					
	F7	Fundraising history of organisations	2					
	F8	Fundraising history of individuals						
G	G1	Statements of Commitment	2	2	N/A	No	0%	11%
	G2	Preparedness	N/A			Yes	11%	

*percentages shown rounded in this table for clarity so do not sum to exactly 100%

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10 March 2022

Dear ,

**ScotWind Leasing Application ID: A101
Updated Statement of Commitment**

We refer to our recent correspondence with you where we advised that your application was successful.

Since the submission of your application, the UK along with the EU and nations across the world, have introduced a number of new sanctions and trade embargoes in response to the current crisis in Ukraine. It is essential that CES has comfort that the Lead and Sole Applicant, each Project Partner, each Funding Organisation, and each Supplementary Experience Provider (all as defined in the Offer Document), together with any guarantors and the supply chain (insofar as already known) comply with their various obligations under the UK Sanctions Regime imposed in respect of Russia/Belarus or any equivalent sanctions regime in respect of Russia/Belarus to which they are subject (“Applicable Sanctions Regime”).

This situation is fast moving with further changes expected to the sanctions regime over the coming days and weeks. In addition to the Statement of Commitments regarding the sanctions regime, we are therefore also requesting information about

- the ownership structures of each of the Lead and Sole Applicant and the Project Partners, Funding Organisation, each Supplementary Experience Provider and guarantors;
- description of the supply chain insofar as it is known at the moment;
- details of whether any of the Lead and Sole Applicant, Project Partners, Supplementary Experience Providers, Funding Organisation or guarantors have connections/interest (either directly or indirectly) with Russia/Belarus and/or Russian/Belarusian companies; and
- if they do have any connections/interest what steps the parties are taking in respect of such connection/interest.

In view of the timing, we are keen to understand the position as soon as possible and therefore we should be obliged if the Lead and Sole Applicant, Project Partners, Funding Organisation, Supplementary Experience Provider and guarantors would complete the information in the form of the annexed updated statement of commitments as soon as possible. This should be signed and uploaded onto the Portal no later than 12 noon on the 28 March 2022.

If you have any questions regarding this Updated Statement of Commitment, please raise them via the ScotWind Portal.

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]