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**Zero Waste Scotland**

# **Recycling Improvement Fund (RIF)**

**Application & Project Management  
Guidance**

**August 2023**

Version	Amendments Made
April 2023	
August 2023	<p>1.7 Grant variation – text updated to reflect process.</p> <p>1.9 Accruals at year end – text updated to reflect process.</p> <p>2.2.1 Increases to recycling – evidence types and tick boxes added.</p> <p>2.2.2 Increases to reuse – evidence types and tick boxes added.</p> <p>2.4.3 Monitoring table – table titles reviewed, and additional committed monitoring column added.</p> <p>3.1.1 Additionality – separate boxes for internal and external funding sources and S95 officer discussion added.</p> <p>3.4.4 Ongoing revenue costs – text revised to include evidence</p>

# APPLICATION & PROJECT MANAGEMENT GUIDANCE

## Zero Waste Scotland Recycling Improvement Fund

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Please ensure that you read this Guidance Document in full prior to completing the application form.

## Essential Information

### 1.1 Introduction

The Recycling Improvement Fund ('RIF', 'The Fund') is a £70 million Scottish Government fund which provides **capital funding** to support local authorities to improve their recycling infrastructure.

This refreshed application and project management Guidance Document for local authorities includes advice on the information required to prepare a good application and is designed to facilitate the development of strong applications.

### 1.2 Background, Aims, and Objectives

#### 1.2.1 Background to the Fund

Scottish Government recognises that, in developing a circular economy approach, an estimated 80% of our global climate emissions are currently linked to the production, consumption and waste of products and resources. *“Protecting Scotland, Renewing Scotland: The Government’s Programme for Scotland 2020-2021”* included a commitment to launch a £70 million Recycling Improvement Fund as part of the transition to a fully circular economy.

The Fund has been developed and delivered in partnership between the Scottish Government and Local Government, with oversight from the Scottish Government/Local Government *“Strategic Steering Group on Circular Economy and Waste,”* which includes representation from COSLA, SOLACE, SEPA, Zero Waste Scotland and the Local Authority Waste Managers’ Officer’s network.

A total of £70 million of capital grant funding has been made available to local authorities over a five-year period from 2021/22 onwards. The total grant allocation will be budgeted annually, subject to regular review, with the current allocation noted below:

- Year 1\* - £14m
- Year 2 - £16m
- Year 3 - £18m
- Year 4 - £11m
- Year 5 - £11m

\*Details of grant awards made to date from the fund can be found on our [website](#).

#### 1.2.2 Aims of the Fund

Proposals contained within application submissions must be consistent with the overarching aims of this capital investment fund, which is to *“accelerate progress towards 2025 waste and recycling targets and Scotland’s net-zero carbon commitment, by strengthening and improving local authority recycling infrastructure, resulting in increased consistency of collection, improvements to the quality and quantity of material collected, and wider environmental and carbon benefits”*.

**This capital investment fund** will help to strengthen local authority collection systems, supporting infrastructure and partnerships, to help meet both national targets and future demands.

### 1.2.3 Objectives of the Fund

Applicants should note that no single project is expected to meet all the objectives, detailed below; however, significant alignment with these assists in assessing the suitability of any project for funding. Applications which align directly and unambiguously (through depth of description backed up by a sound evidence base) with the objectives, are more likely to demonstrate clear potential to meet with the overarching aims of the fund.

The objectives of the fund link to the assessment criteria (see Table 1) and are to *support and progress* the following: (N.B. these are not ranked in order of importance).

1. Efforts to align kerbside collection services to the revised Code of Practice, under the Household Recycling Charter, by funding service design changes which maximise yield and capture of high-quality materials for re-processing.
2. Strategic projects, which prepare local authorities for the introduction of the Food Waste Reduction Action Plan, Circular Economy Action Plan, changes resulting from the implementation of Extended Producer Responsibility requirements and the Deposit Return Scheme, and any workstreams and recommendations arising out of the Waste Targets Route Map.
3. New opportunities for the collection of problematic materials and identified high carbon impact materials, such as, garden waste, food waste, paper and card, plastics, and textiles.
4. The development of infrastructure projects at a scale which will improve the capture and quality of recyclable materials at collection and treatment level, with a particular focus on producing a higher quality of feedstock from source, to reduce treatment requirements and increase marketability of outputs.
5. Capital investment projects that adopt new or innovative approaches to increase recycling performance and achieve carbon reductions through targeted infrastructure changes.
6. Initiatives which directly tackle the linear “*make, consume and dispose*” throwaway culture by providing enhanced opportunities, through targeted investment, to reuse and recycle a wider range, and increased quantity of materials, within a circular economy model.
7. Development of existing systems, through projects which replicate best practice or innovation seen elsewhere, or new and innovative projects, which may show potential for scaling-up or replication elsewhere in Scotland.
8. Opportunities which maximise the value of the funding awards by working with other local authorities and strategic partners.

Details of eligible and illegible capital assets and costs can be found in this Guidance Document at sections 3.2 and 3.3.

### 1.3 Project Pipeline Development

The Zero Waste Scotland Recycling Team is working proactively with local authority partners to explore a pipeline of potential applications across future years of the Fund. The Fund has the potential to capture significant new recycling tonnage across each year of the Fund, by providing support to implement a range of new or innovative projects, which will drive progress towards national recycling targets.

Zero Waste Scotland works with local authority partners on both the development and delivery of a large number of projects, covering (but not limited to): reducing refuse capacity; enabling Charter compliance; expanding garden waste collections; increasing food waste yields; reducing contamination; increasing the range of materials collected; and developing recycling solutions for new materials.

Scottish local authorities are invited to develop and submit applications to the Fund. Zero Waste Scotland's Recycling Partners will be able to provide guidance on the scope of the Fund, the types of projects that are being sought and the application process, as well as providing one-to-one support to assist with the development of as strong an application as possible. This approach is to ensure a proactive and collaborative approach to application development between local authorities and Zero Waste Scotland.

Zero Waste Scotland is available throughout project implementation and go-live stages to assist and support. Recycling Partners have significant experience across all areas of local authority project delivery, from project planning stages, public outreach, through procurement and tendering; contractor management; and on the ground project management. Outside the regular touch-base meeting, local authority partners should feel comfortable to contact Recycling Partners for any support or advice needed.

**Please only proceed with a full application if you have been advised to do so by your Zero Waste Scotland Recycling Partner.**

Further details can be found on our [website](#) or by contacting your Recycling Partner.

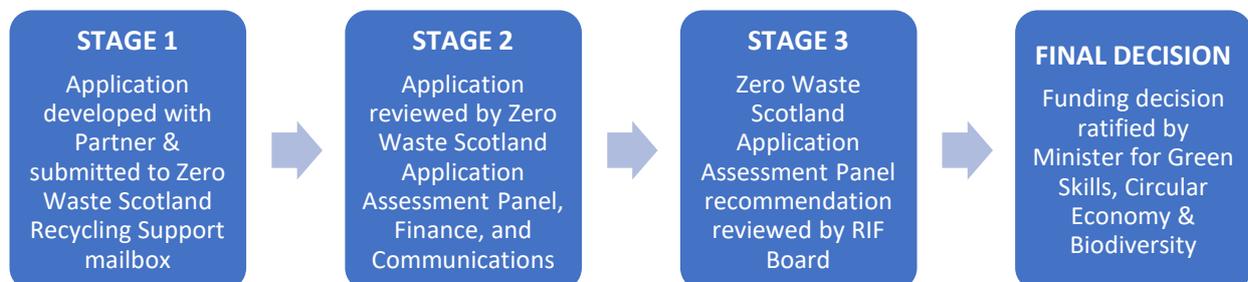
#### 1.4 Who is Eligible to Apply to the Fund?

This funding program is open to:

- Individual local authorities; or
- Groups of local authorities; or,
- Local authority led partnerships involving other organisations e.g., third sector/private sector (where capital assets are retained by the local authority).

Applications can relate to projects starting at any time within the five-year Fund period. There is currently no limit to the value of a single application or the number of applications which can be made by a local authority. Applicants are encouraged to have early discussions with their Recycling Partner, even where the capital investment is required for future years.

#### 1.5 Application Assessment and Decision Process



## **Stage 1 – Application Completion Process**

For project concepts and proposals, considered by Zero Waste Scotland to be either partially in scope, or fully out of scope, of the Fund, or for construction projects that do not demonstrate that sufficient analysis of feasibility has been undertaken, a decision may be taken by Zero Waste Scotland that the application is not eligible for assessment by the Panel. Recycling Partners will work with applicants where appropriate to re-work applications where gaps or weaknesses have been identified. Recycling Partners may also propose alternative projects which may better align with the Fund's aims and objectives.

It is essential that applicants provide all the information requested and comply with this process, or their applications may be deemed non-compliant and not be eligible for assessment by the Panel or presented to the RIF Board. Applicants should be aware that application submissions made against best advice, that are not deemed to be within the scope of the fund, may not be evaluated by the Panel, or progressed to the RIF Board for their funding decision.

Final completed application submissions will be assessed by the Panel against the aims and objectives of the fund as outlined in Section 1 above and the evaluation criteria as outlined in Table 1 below.

Please complete the application form electronically and send along with supporting documents to [RecyclingSupport@zerowastescotland.org.uk](mailto:RecyclingSupport@zerowastescotland.org.uk)

## **Stage 2 – Application Assessment Panel**

Local authorities must send their completed application no later than five weeks prior to the RIF Board's scheduled meeting dates, via their appointed Recycling Partner. These deadlines are available on the [RIF webpage](#).

This will allow sufficient time for the Panel to convene and assess all submitted applications and produce briefing papers for the RIF Board. Applications received on or before the next scheduled submission deadline, will be assessed during that round. Applications received after a scheduled assessment round, will be assessed for the next available RIF Board meeting.

To ensure fairness, transparency and the integrity of the assessment process, Recycling Partners, involved in developing detailed submissions with applicants, play no part in the assessment and evaluation process for those bids. The assessment of completed applications is undertaken by a minimum of three suitably experienced and skilled staff from the RIF Team, who convene the Application Assessment Panel, which reports into the RIF Board.

Recommendations for funding will be determined by the Panel, which will have achieved a consensus score via a moderation meeting. Feedback will be provided to the Panel on the relevant submitted sections of an application from the Zero Waste Scotland Communications Team, Finance and Grants Team and this information will be taken into consideration as part of individual assessment scoring.

The assessment of the application is carried out against the Assessment Criteria set out in Table 1 and final scores calculated using the scoring bands in Table 2.

**Table 1 - Assessment Criteria**

<b>Criteria and definition</b>	<b>Weighting</b>
<b>Evidence Led</b> - the project is based on the best industry and sectoral knowledge and recognises good practice and addresses a demonstrated gap or improvement need. The application will demonstrate how the impact will also be robustly monitored and evaluated over time against an agreed framework of impact / performance criteria.	<b>27.5%</b>
<b>Impact &amp; Transformation</b> - the project is focussed on high carbon impacts through increasing the capture of priority materials such as food waste, garden waste, plastics and textiles and the adoption of new and low carbon technologies; it will also support significant shifts in performance locally, regionally, or nationally in terms of recycling performance, waste prevention or reuse.	<b>22.5%</b>
<b>Strategic &amp; Collaborative</b> - the project shows alignment with current and future policy developments and local, regional, or national priorities. The project also considers any broader impacts. The project adopts a partnership approach in developing and delivering projects across key stakeholders and/or across multiple authorities – where opportunity allows.	<b>20%</b>
<b>Feasibility</b> - the project is deliverable and well planned; it demonstrates due diligence, planning, strong project management and targeted communication of infrastructure changes, it is also practicable within the timeframes.	<b>20%</b>
<b>Additionality</b> - the project is one which, for reasons of scale, timing, or perceived risk, may not otherwise be progressed or would take significantly longer without grant funding.	<b>5%</b>
<b>Acceptability</b> - the project fits within the regulatory and planning frameworks, is acceptable to both local decision makers and stakeholders and aligns with the scope of the fund.	<b>5%</b>

**Table 2 – Scoring Bands**

<b>Score</b>	<b>Points</b>
Excellent	100
Good	75
Acceptable	50
Poor	25
Not acceptable	0

Return on Investment Review

A return-on-investment review will also be undertaken by the Panel, which sits alongside the assessment criteria matrix and scoring, and forms part of the overall recommendations to the Board. This review is undertaken according to the following guiding principles, which are: that the application demonstrates

- a **good choice of project** and solution to the council’s service delivery objectives;
- a **sound procurement approach** to achieving the most economically advantageous outcomes;
- that the **quantity of recycling/reuse** and carbon reduction can be **maximised** through the chosen service solution;

- that the **cost** of investment is **reasonable** and **proportionate** to the projected outcomes (recycling/reuse / carbon impacts); and
- that the project demonstrates ability to **produce sustained results**.

### **Stage 3 – Recycling Improvement Fund Board**

Representatives from Scottish Government, Zero Waste Scotland, SEPA, SOLACE and CoSLA convene for the Recycling Improvement Fund Board. The RIF Board considers the Panel's funding recommendation and decide which projects should be progressed. Recommendations endorsed by the Board are presented to the Scottish Government's Minister for Green Skills, Circular Economy and Biodiversity, who is responsible for making the final decision regarding funding.

Where a single round, or the yearly intake of successfully assessed applications, has (or is likely) to exceed the Fund's allocated annual budget, the RIF Board may take the necessary decision to: rank by assessed impact, or application quality, or value for money; recommend award for a future year; defer a decision on; or reject any application, in line with the overarching aims and objectives of the Fund.

Local authorities will receive a summary from Zero Waste Scotland of the outcome of their application, in writing, and, where helpful, a de-brief meeting can be arranged. This will set out where an application may have lacked sufficient detail and could require clarification, or further information, prior to implementation or confirmation of award.

Zero Waste Scotland will endeavour to provide formal feedback and the outcome of decisions within three weeks of a Board meeting. Please note, this timescale is dependent on Ministerial approval of Board decisions.

#### **1.6 Funding Agreements**

Once a grant award has been approved in writing via an outcome letter, Zero Waste Scotland will liaise with successful applicants to finalise the deliverables, the relevant milestone payments and the implementation timetable.

The completed application form, including financial milestones' table, schedules of agreed costs and non-funded deliverables, along with the project implementation timetable and communications plan, will, for successfully funded projects, be used as the basis for the final Project Funding Agreement ('the Agreement'). This Agreement will be issued detailing key project deliverables, financial milestones, associated payments, and the project timetable.

Once signed, by both the local authority and Zero Waste Scotland, the successful applicant is free at this point to commence delivery of the project, including the procurement and purchase of the funded assets.

A New Supplier Form will be issued to the local authority for completion to enable the authority to be set up on our financial payment system. A purchase order will then be raised by Zero Waste Scotland setting out the grant amount by financial milestone which allows the local authority to submit the evidence for payment of the grant.

#### **1.7 Grant Variations**

The RIF Board is aware that unforeseen circumstances may have an impact on either the required final grant value, profiling of expenditure, or the implementation milestone dates. There is an expectation that submitted applications include detailed consideration of these

potential risks and set out how the authority will minimise or manage possible slippage and impacts.

Zero Waste Scotland will provide specific feedback on applications prior to final submission where it is envisaged that either timescales or cost estimations do not appear realistic. It is important that applicants take this feedback on board early in the process and secure any necessary informal market insight to inform both timescales and costs for the proposed project delivery.

Following grant award and project commencement, where costs have increased, as evidenced by the formal return of tenders, over the original estimates submitted within the awarded application, Zero Waste Scotland is required to follow set procedures for approving any variation. Where a grant variation is required a Grant Variation form will need to be completed by the Local Authority and approved by the RIF board.

Where project milestone dates have slipped within the original financial year to which they were allocated, the applicant must keep in close contact with the RIF Team to enable sound overall budget monitoring and management. Where it becomes apparent a project may incur significant time slippage pushing milestones and spend into a future year of the fund, RIF board approval may be required.

Where changes to deliverables, milestones or values are consented, Zero Waste Scotland will issue a contract variation, which is required to be signed by a senior local authority manager with the appropriate delegated authority.

## **1.8 Requests for Payment**

Milestones are paid retrospectively upon provision of fully evidenced claims, confirming that the milestones have been completed and that the capital items have been procured and delivered. Part claims against a milestone can be made, where aspects of the milestone's delivery are delayed or scheduled to be in phases.

Grant recipients will be required to complete a Request for Payment form and provide evidence of expenditure. This evidence could include, but is not limited to, copies of:

- original supplier invoices;
- supporting bank statements or local authority ledger showing payments have left an account (screen shots are acceptable); and,
- evidence of installation (e.g. before and after photographs) and or site visit by Zero Waste Scotland.

Please note that once all required documentation has been received and verified it can take up to 30 working days for Zero Waste Scotland to process requests for payment.

## **1.9 Accruals at Year End**

When funds have been spent but not claimed by year end, an Accrual Return and Evidence Assurance form will need to be completed, so funds can be accrued. Local Authorities are required to submit a Request for Payment form and evidence to the RIF team within ninety days of the Year End. Where you identify issues with this requirement for end of financial year milestones, please notify Zero Waste Scotland as soon as possible, to inform the budget monitoring process.

## **Application Completion Guidance**

Recycling Partners will provide structured support, during a series of scheduled discussions with the local authority, to ensure that the application is completed in close consultation. This will support the local authority to ensure that the application demonstrates alignment with the aims and objectives of the Fund and provides the requisite evidence.

The following sections have been created to enable local authorities to complete the application form with sufficient detail to enable it to be assessed. To enable applicants to easily cross-reference while completing an application, the guidance (below) follows the same order and section references as the Application Form. Please note, only sections from the form where guidance is deemed to be of benefit have been included below (self-explanatory sections have not been included). Any queries you may have on the guidance provided below, or where further clarifications are needed, please raise these with your Recycling Partner.

**Please note, do not use this document as the Application Form.**

For further information, contact your designated Recycling Partner or email [RecyclingSupport@zerowastescotland.org.uk](mailto:RecyclingSupport@zerowastescotland.org.uk)

## 2 Project Details

### 2.1 Project summary

At question 2.1 of the application form you are asked to please provide a summary of the proposed project.

Please provide a succinct summary of the proposed project within the application form, which provides clear and unambiguous detail on how the proposal aligns with the aims and objectives of the fund. A good application would also set out details of new or innovative solutions to address household waste arisings and explain how the proposal facilitates alignment with broader Scottish Government and Local Government policies. This response should be a combined snapshot of the information contained under the detailed project information sections to follow.

You may wish to append at Section 4 of the application form where relevant a diagram / or photographs that show your existing equipment/operation/service and where the proposed project interfaces with it, along with any supporting photographs.

(500 word limit).

### 2.2 Detailed project information

**Section 2.2 of the application covers details of how the project meets the aims and objectives of the Fund and creates additional benefits.**

Your responses across this section should include sufficient information as guided by the following sections to demonstrate that waste diversion and carbon efficiency projections are based on a sound and clear evidence base, which should also link in to post implementation monitoring milestones and methodologies to be used.

A good application should include a detailed set of workings per line, which shows how waste diversion and carbon efficiency projections have been arrived at and how these will be sustained. A good application should also demonstrate the evidence-base that these projections are based on e.g., a detailed options appraisal, desktop analysis of similar projects delivered elsewhere, pilots or trials undertaken, any sensitivity analyses undertaken (please demonstrate how sensitivity analysis has included both higher and lower performance of the scheme and how this translates to estimation of assets required on potential service / service uptake,) and / or external expert verification.

Waste diversion and carbon efficiency projections based on a sound and clear evidence-base, should link in to post implementation monitoring milestones and methodologies to be used.

**Please read through the whole section before completing the application form to avoid duplication of information.**

#### 2.2.1 Increased recycling

At question 2.2.1 please provide the predicted tonnage increases in recycling for your authority; also describe the impacts of this increased rate on residual waste disposal, such as movement between waste streams.

It is important for assessment purposes that full details are provided within this response on how these figures / estimations have been arrived and the logic / calculations / benchmarking / evidence etc. that sits behind them.

### Assessment Criteria – Impact and Transformation & Evidence Led.

<b>SAMPLE COMPLETION TABLE – Please adapt the below table contained within the application form to suit your project needs.</b>				
<b>Example 1.</b>	<b>Material Stream:</b>	<i>e.g., Food Waste.</i>		
	<b>Movement between streams:</b>	<i>e.g., food waste diversion from residual waste stream, arising from shift to 3-weekly residual service.</i>		
	<b>Projected Increase Change (tpa):</b>	<i>e.g., 500 tpa increase</i>		
	<b>Methodology:</b>	<i>[set out workings here for projected capture/yield]</i>		
	<b>Evidence: (Tick all that apply and add a brief description)</b>	Options appraisal		
		Waste Composition Analysis	✓	<i>e.g. Waste Composition Analysis (WCA) sampling data of recycling and landfill bins in 2019,</i>
		Benchmarking	✓	<i>e.g. Desktop analysis of other LA similar project undertaken in recent years from a similar baseline.</i>
		Pilot / Trial		
Informed by Best Practice				
Other (please detail)		✓	<i>e.g. Set out rates &amp; contamination reports.</i>	
<b>Example 2.</b>	<b>Material Stream:</b>	<i>e.g., soft plastic films.</i>		
	<b>Movement between streams:</b>	<i>e.g., soft plastic diversion from residual waste stream, capture of household soft plastics for recycling within existing containers stream.</i>		
	<b>Projected Increase Change (tpa):</b>	<i>e.g., 200 tpa increase</i>		
	<b>Methodology:</b>	<i>[set out workings here for projected capture/yield]</i>		
	<b>Evidence: (Tick all that apply and add a brief description)</b>	Options appraisal	✓	<i>e.g. Options appraisal developed by Eunomia on behalf of ZWS.</i>
		Waste Composition Analysis	✓	<i>e.g. MRF CoP monthly data.</i>
		Benchmarking		
		Pilot / Trial		
Informed by Best Practice				
Other (please detail)		✓	<i>e.g. Set out rates &amp; contamination reports.</i>	

## 2.2.2 Increase in re-use

At question 2.2.2 please provide details of items targeted and include the predictions of tonnage increase in reuse and or recycling from reuse activities and the reduction in residual waste disposal from this activity.

It is important for assessment purposes that full details are provided here on how these figures / estimations have been arrived and the logic / calculations / benchmarking / evidence etc. that sits behind them.

### Assessment Criteria – Impact and Transformation & Evidence Led.

<b>SAMPLE COMPLETION TABLE – Please adapt the below table contained within the application form to suit your project needs.</b>				
<b>Example 1.</b>	<b>Material Stream:</b>	<i>e.g., mattresses.</i>		
	<b>Movement between streams:</b>	<i>e.g., mattress diversion from bulky waste residual waste disposal, through reuse recovery service.</i>		
	<b>Projected Increase Change (tpa):</b>	<i>e.g., 250 tpa increase.</i>		
	<b>Methodology:</b>	<i>[set out workings here for projected capture/yield]</i>		
	<b>Evidence: (Tick all that apply and add a brief description)</b>	Options appraisal		
		Waste Composition Analysis	✓	<i>e.g. bulky Waste Compositional Analysis data</i>
		Benchmarking		
Pilot / Trial		✓	<i>e.g. 6-month pilot project from one depot.</i>	
Informed by Best Practice				
	Other (please detail)	✓		
<b>Example 2.</b>	<b>Material Stream:</b>	<i>e.g., household furniture.</i>		
	<b>Movement between streams:</b>	<i>e.g., household furniture diversion from bulky waste residual disposal, through reuse recovery service.</i>		
	<b>Projected Increase Change (tpa):</b>	<i>150 tpa increase.</i>		
	<b>Methodology:</b>	<i>[set out workings here for projected capture/yield]</i>		
	<b>Evidence: (Tick all that apply and add a brief description)</b>	Options appraisal		
		Waste Composition Analysis	✓	<i>e.g. HWRC bulky waste skip composition analysis</i>
		Benchmarking	✓	<i>e.g. Desktop analysis of another similar project with similar baseline.</i>
Pilot / Trial				
Informed by Best Practice				

		Other (please detail)	✓	<i>e.g. special uplift booking data, baseline bulky waste disposal data.</i>
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### 2.2.3 Impact on overall waste arisings from project proposals

At question 2.2.3 please provide a summary using the below table format to show the impact of all relevant lines included within sections 2.2.1 and 2.2.2. Your response to this question should show the mass balance of the overall impact of the total project proposal.

#### Assessment Criteria – Impact and Transformation & Evidence Led.

<b>SAMPLE COMPLETION TABLE – Please adapt the below table contained within the application form to suit your project needs.</b>				
	<b>Current performance</b>		<b>Performance following RIF project implementation</b>	
	<b>Tonnes pa</b>	<b>% full year</b>	<b>Tonnes pa</b>	<b>% full year</b>
<b>Residual waste</b>				
<b>Recycling</b>				
<b>Re-use</b>				
<b>Totals</b>		100		100

### 2.2.4 Improvements to material quality –

At question 2.2.4 please explain how this project will improve the quality of collected and treated materials for end markets.

Please state where, in the collection to end market process, the quality will be improved, how this will be achieved and the likely outcomes and benefits to tendering and contractor management and recycle market stability. For instance, provide estimates for reduced material rejection before, or reduced material disposal after, sorting / processing activities.

It is important for assessment purposes that full details are provided here on how these figures / estimations have been arrived and the logic / calculations / benchmarking / evidence etc. that sits behind them behind them.

#### Assessment Criteria – Impact and Transformation & Evidence Led.

### 2.2.5 Carbon Savings

At question 2.2.5 please provide your estimation of carbon savings in terms of tonnes of CO2 equivalence and how these are to be achieved.

For instance, this could be through: the collection of a wider range of, or greater quantity of, materials for re-use and recycling; via greater diversion from disposal, or through operational changes (e.g., routing efficiency, alternative fuel vehicle, collection frequency changes) that assist with carbon savings.

It is important for assessment purposes that full details are provided here on how these figures / estimations have been arrived and the logic / calculations / benchmarking / evidence etc. that sits behind them (e.g., [Zero Waste Scotland Carbon Metric Factors](#)). Zero Waste Scotland will verify figures using the Zero Waste Scotland Carbon Metric, or appropriate alternative.

### Assessment Criteria – Impact and Transformation & Evidence Led.

<b>SAMPLE COMPLETION TABLE</b> – Please adapt the below table contained within the application form to suit your project needs.			
<b>Activity / Material Category</b>	<b>Projected Carbon Savings (tonnes CO2e per annum)</b>	<b>Source / Methodology</b>	
<i>e.g. Increased food waste recycling</i>	<i>500 tCO2e pa</i>	<i>DEFRA 2021 conversion factors</i>	<i>[set out workings here]</i>
<i>e.g., plastic film</i>	<i>270 tCO2e pa</i>	<i>Zero Waste Scotland Carbon Metric</i>	<i>[set out workings here]</i>
<b>TOTAL CO2e Savings:</b>	<i>770 tCO2e per annum</i>		

### 2.2.6 Policy Alignment

At question 2.2.6 please set out how this project aligns with the following:

- The Household Recycling Charter and Code of Practice;
- The transition towards a Circular Economy;
- The drive towards Net-Zero commitments; and,
- Other Scottish Government & Local Government Policies (for e.g., the: national Deposit Return Scheme, Climate Emergency and Extended Producer Responsibility).

All applications, irrespective of project type, should cover within the application response how the proposals links to or aligns with all of the above significant policy areas.

Example 1 – Bulky Waste Reuse Project:

*e.g., Our bulky waste reuse scheme will enable the diversion of at least 500 tonnes of household furniture and white goods away from the current recycling and disposal outlets. Due to the Council's strong historic relationships with our key reuse partners, this collaboration will deliver significant social, environmental, and economic value to our authority area. This project links clearly to our circular economy commitments, by supplying good quality furniture to the Scotland Excel Frameworks' Reuse Lot, enabling direct call-offs by Housing Team colleagues for local residents in need. The project will provide choice to local residents, reduce our dependence on purchasing lower quality higher priced new goods, and will also raise the profile of reuse through the introduction of prominent collection containers, to be located at the entrance to our busiest Household Waste Recycling Centres. The Council declared a Climate Emergency in 2019 and is fully committed to ensuring a meaningful and measurable contribution to Net-Zero targets, across all aspects of our business, including sustainable procurement and by contributing to green jobs creation. This project proposal demonstrates a clear case for improving diversion of valuable material away from disposal, with identified carbon efficiency savings.*

## Example 2 – Twin Stream and Residual Waste Frequency Change:

*e.g., The Council became a voluntary signatory to the Charter in 2018 and in so doing, made a commitment to transform our kerbside collection model to align with best practice, once capital funding became available. The service undertook a detailed options appraisal with ZWS in 2019, which identified that shifting to a twin-stream kerbside collection model and away from a comingled DMR collection would improve both the quantity and quality of material collected, which will increase its marketability and resource recovery prospects, as part of our commitment to a more circular approach. This change will also align us with our neighbouring authorities in operating a more consistent collection model, which may present opportunities for collaboration and producing economies of scale in future years. Similarly, this key service change will help to future-proof our service for the introduction of extended producer responsibility for packaging and the implementation of the national DRS, by ensuring we operate the most efficient services possible and can recover our net operating costs. The Council declared a Climate Emergency in 2019 and is fully committed to ensuring a meaningful and measurable contribution to Net-Zero targets, across all aspects of our business, from sustainable procurement to our operational service delivery. This project proposal demonstrates a clear case for improving diversion of valuable material away from disposal, with identified carbon efficiency savings.*

### **Assessment Criterion – Strategic and Collaborative.**

#### **2.2.7 Other added-value aspects of the project (if relevant)**

At question 2.2.7 for instance, please provide details of how the project increases social and environmental benefits.

This may include, where applicable and appropriate, details of, for example, creation of jobs and/or enhancing skills, how the proposal enhances social value, how the purchasing organisations adopts sustainable procurement, and / or, is working towards the Fairer Scotland Duty.

### **Assessment Criterion – Strategic and Collaborative.**

#### **2.2.8 Partnership and collaboration potential**

At question 2.2.8 please describe what consideration has been given to the potential for partnership or collaborative working, with other local authorities, private or third sector partners to enhance the value of the funding award.

In your response reference any discussions with Recycling Partners, other local authorities, or working groups where opportunities have been discussed. Where an opportunity has been identified and is to be assessed as part of this application, please explain the proposed roles of each party in full.

Please note, applicants successfully awarded a RIF Grant for a project consisting of a partnership approach, there will be a requirement to provide evidence of the existing or proposed formal operating structure to Zero Waste Scotland during project mobilisation stages. Applicants will be required to provide copies of, for e.g., contracts, agreements, memoranda of understanding, references, or letters, with the application to evidence this structure. For partnership applications involving third sector organisations, evidence of any competitive

process or exemption from competition should be provided, including any renewal clauses for such agreements.

### **Assessment Criterion – Strategic and Collaborative.**

## **2.3 Project approvals, permissions and consents**

### **Section 2.3 of the application covers details of any committee decisions, planning permissions or regulatory consents, approved or pending.**

Applications must be supported by and acceptable (at least in principle) to all appropriate senior managers, democratic decision-makers, and external approval bodies. A good application must be fully completed in all its parts, and both reviewed and approved by a Senior Manager with the necessary delegated authority.

#### **2.3.1 Member approval**

At question 2.3.1, if member (or other board or executive level) approval is required for the project, please provide details.

Please provide details of the process, dates of approval and whether any are pending. Please detail whether these have been obtained in full or in principle and any potential impacts on the deliverability of the project, including contingency considerations as reflected in the implementation plan.

Please note, applicants successfully awarded a RIF grant, will be required to provide evidence of necessary approvals to Zero Waste Scotland during project mobilisation stages.

### **Assessment Criterion – Acceptability.**

#### **2.3.2 Planning permission**

At question 2.3.2 please provide high-level details of planning applications and other permissions required for this project.

Detail within the application form planning application permissions required to enable the project delivery and any potential impacts on the deliverability of the project, with contingency considerations reflected in the implementation plan.

Please note, applicants successfully awarded a RIF Grant, will be required to provide evidence of necessary approvals to Zero Waste Scotland during project mobilisation stages, including applications due for submission, pending a decision or any results, including dates.

### **Assessment Criterion – Acceptability.**

#### **2.3.3 SEPA waste management licences and/ other regulatory consents etc.**

At question 2.3.3 please provide high-level details in the application form of any new licences or approvals or amendments to licences that are required for the project.

Detail within the application form any potential impacts on the deliverability of the project, with contingency considerations reflected in the implementation plan.

Please note, applicants successfully awarded a RIF Grant, will be required to provide evidence of necessary approvals (e.g., site Waste Management Licenses, Pollution Prevention Control permits, Animal and Plant Health Agency approvals) to Zero Waste Scotland during project mobilisation stages, including applications due for submission, pending a decision or any results, including dates.

### **Assessment Criterion – Acceptability.**

## **2.4 Project Timeline and Monitoring Plans**

Section 2.4 of the application requires applicants to please complete the project timetable template, communications planning template and the delivery and project monitoring table.

This is to provide the assessment panel with a clear understanding of how all aspects of the proposal come together within the implementation schedule, including communications requirements and timing to support implementation, and how post implementation progress will be monitored.

### **2.4.1 Project timetable**

At question 2.4.1 please adapt the template included within the application form setting out the detailed timeline of the project proposal.

The completed project timetable template within the application form should provide evidence that the applied for project is foreseeably deliverable within the timescales proposed. A good application should include detail of any potential for delays or slippage and contingency plans for how these will be managed.

These commitments will form part of the contract deliverables and milestones where a grant is awarded.

### **Assessment criterion – Feasibility.**

Please use the following as activity titles and add any additional types where required:

- Procurement and supply
- Construction phases
- Delivery phases
- Communications and public outreach milestones
- Monitoring (pre, during & post)
- Planning permission
- Licencing or other Regulatory (SEPA, APHA etc)
- Elected member / executive level / external partner board approval
- Staffing and recruitment
- Training
- Project implementation / launch (collections commence etc.)
- Any other key milestones (e.g., elections etc.)

Activity	Sub activity	Start	End	2022/23				2023/24				2024/25				2025/26			
				Q1	Q2	Q3	Q4												
Approvals	Council executive team	Apr-22	Apr-22	X															
	Environment Committee (Elected members)	Jun-22	Jun-22	X															
Communications	Comms plan developed	Mar-23	Apr-23				X	X											
	Artwork design & approval (teaser & leaflet)	May-23	Aug-23					X											
	Teaser delivery	Aug-23	Aug-23						X										
	Leaflet delivery	Sep-23	Sep-23						X										
Procurement	Develop bin procurement tender	Sept-22	Jan-23		X	X													
	Issue tender	Feb-23	Feb-23				X												
	Award tender	Apr-23	Apr-23					X											
	Bins delivered to depot	Jun-23	Sep-23					X	X										
Bin Delivery (to h/holds)	Delivery lists and maps prepared	Jul-23	Aug-23						X										
	Delivery of bins	Aug-23	Sep-23						X										
Staffing & recruitment	Bin delivery pilots	Jun-23	Jul-23					X	X										
	Agency bin delivery staff recruitment	Jun-23	Aug-23					X	X										
Training	Bin delivery staff (inc. pilots)	Aug-23	Aug-23						X										
	Collection crews	Sep-23	Nov-23								X								
Licensing	SEPA variation discussions	Sep-22	Dec-22		X	X													
	Submit variation request	Feb-23	Feb-23				X												
	License changes approved	Aug-23	Aug-23						X										
Project Launch	Collection routes 1-10	Oct-23	Oct-23								X								
	Collection routes 11-20	Nov-23	Nov-23								X								
Monitoring	Pre-monitoring data gathered (collection tonnage)	Oct-22	Sep-23			X	X	X	X										
	Post monitoring data gathered (collection tonnage)	Oct-23	Sep-24								X	X	X	X					

Q1– April – June / Q2 – July – September / Q3 - October – December / Q4 – January – March

### **2.4.1.1 Project flexibility**

At question 2.4.1.1 if there is limited or no prospect of project implementation flexibility, please provide details of all key issues and critical timings.

Please also **highlight in red** any critical fixed points against activity lines within your completed project timetable. Please provide details of what and where flexibility can, or has been, built into your project timetable. If there is limited or no prospect of project implementation flexibility, please provide details of all key issues and critical timings which prevent this by highlighting those lines in red (e.g., local government elections, treatment contract renewal dates, other project delivery which creates a timing dependency).

### **2.4.1.2 Procurement and supply**

At question 2.4.1.2 please explain the market engagement undertaken to ensure that the project is foreseeably deliverable, within the timescales, for instance asset production timelines and supply chain availability and security. Applicants should provide evidence of any market insight surveys to confirm availability of supply at section 4 of the application form.

## **2.4.2 Supporting Communications and Proposed Activity**

**An effective communications plan is considered vital to ensuring the predicted outcomes and ambitions contained within your application can be achieved and sustained.**

At question 2.4.2 within the application form, please adapt the communications plan template to set out the proactive communications your authority (and partners where relevant) commits to self-fund and undertake to support the proposed project's implementation. It is important that sufficient consideration is given, and evidence provided, to ensure the effective implementation of your project and to assure the assessment panel of its positive impact.

These commitments will form part of the contract deliverables and milestones where a grant is awarded. Please note, the corresponding communications budget (including the budget per household) is to be set out separately within section 3.3 of the application form.

In advance of submitting your application you may find it helpful to review the relevant communications toolkits suited to your funding request as well as the Recycle for Scotland brand guidelines. Use of Zero Waste Scotland Recycle for Scotland toolkits and correct implementation of branding is a condition of grant funding. More information on best practice communications planning can be found within the [Zero Waste Scotland Communications Planning Template](#).

The submitted plan will be reviewed by the Zero Waste Scotland Communication Team with feedback provided to the RIF Application Assessment Panel to assist in the evaluation of your application against the assessment criteria (*Evidence Led and Feasible*). *Please note, it is a requirement that successfully awarded applicants will provide to Zero Waste Scotland a full communications strategy during contract mobilisation, which expands on the responses provided at 2.4.2.*

**Please restrict fields within this section to 250 words maximum.**

**Assessment Criterion – Feasibility.**

**Background – identify where you are:**

Please provide a summary of communications approaches used/delivered in the last 2 years:

*e.g., The service employs two Waste Awareness Officers who undertake internal and external public outreach through a number of channels, including doorstep fieldwork, attending/speaking at community events and in educational settings; and, producing updated collateral. The service also undertakes the following public communications on a routine basis: annual collection calendar publishing; regular social media campaigns (seasonal and national); service videos; direct mailings to new tenants/properties; festive collection mailings; live website updates; annual public satisfaction surveys; RCV vehicle livery installation; press releases and photo calls; recurring training of frontline advocates (service operatives and elected members). Recent messaging has included direct calls to action connected to the Climate Emergency and Crisis in Nature and simplifying messaging around target materials.*

Please detail any gaps highlighted in your current or past communications activities that need to be addressed:

*e.g., It has been 5 years since our last major service change, when the service last allocated significant budget to communications outreach. The results of public surveys show that residents still expect to be direct mailed on changes to waste and recycling services. Our digital channels have good reach, but are considered complementary rather than primary channels, due to limitations on coverage and also the potential for oversaturation of messaging and competing with other corporate priorities. A key lesson learned from the last major service change communications, is greater consideration should be given to the order and timing of communications to provide both the necessary warm up and clear calls to action at critical stages. Also, at all times messaging should be kept simple on core/target materials.*

**Situation analysis – establish where you want to be:**

Please define your communication aims and objectives:

*e.g., The proposed service changes represent a significant shift in how service users will engage with kerbside services. The introduction of a twin-stream recycling service with reduced residual waste capacity provides a key opportunity to re-launch our kerbside collection service and promote bring site outlets. The service must ensure that communications engagement is undertaken in a timely manner at critical points of the operational service change, engaging and supporting service users through the changes. Messaging must be simple and instructive, resonate with a wide audience and provide clear calls to action. Our communications plan will make the best use of available budget and service users will be clear on who the change affects, what the changes are, where (kerbside, bring-site, trade customers, schools etc.), when the key dates are and why the need for the changes. Communications outreach will be measured throughout the operational phases and lessons learned adopted.*

Please provide an outline of other services on which this project may have an impact:

*e.g., Through sensitivity analysis we are aware that the introduction of our proposed twin-stream collection service and three-weekly residual waste collection service, will have an impact on our bring sites (Household Waste and Recycling Centres and Recycling Points), by operating as a potential release valve. Residents will be signposted to bring sites for self-servicing, with direct messaging around reuse and waste minimisation. As per our kerbside policy, larger households and those with medical needs, will be supported with additional residual waste capacity, where additional unavoidable waste is generated. The service*

change will also impact on our assisted lift and special uplift services. All aspects of service provision will be covered within communications messaging. Frontline operatives undertaking collections and at HWRCs will be supported with key messaging and service information.

### **Communications planning - establish how you are going to get there:**

Please set out your target audiences for the communications, such as the following:

- **Householders / service users:** e.g., university accommodation, communal properties, all other property types, commercial waste customers, carers.
- **Internal audiences:** e.g., Housing Teams, enforcement officers, collection crews and supervisors, customer service centre and other council offices, facilities management, libraries, schools, elected members, corporate communications, street cleansing, home care, schools.
- **External groups/stakeholders/key community groups:** e.g., community councils, social housing managers, university facilities management, village halls, volunteer groups.
- **Hard to reach groups:** e.g., MEAD, refugee support groups, Chinese community, Polish community, university students, low socio-economic groups.
- **Media groups:** e.g., local observer, local quair magazines, local radio station.

Please set out messaging and strategic approach:

- **Types of key messages:** e.g., service re-launch, simplified approach, getting it right, stay informed, self-service, recycle more/waste less, climate emergency, nature crisis, protecting resources, recycling for Scotland.
- **Tone of voice to be used:** e.g., instructional, corrective, motivational, personal responsibility, collective action, calls to action.
- **Your overall approach to communications, what you need to communicate:** e.g., change from comingled service to twin-stream, introduction of additional materials, additional recycling bin, reduction in residual waste capacity, key dates, target material streams, how to participate; phased rollout and targeted communications, low performing areas, hard to reach groups, key service advocates, additional capacity for eligible households.
- **Decide on what form your communication will take:** e.g., teaser postcard/letter, full service letter, bin stickers, contamination hangers, RCV livery, social media plan and managed responses, press release and photo call pre and post launch, videos – how to engage and what happens to my recycling.
- **The internally agreed roles and responsibilities for delivering the communications:** e.g., waste strategy officers produce full communications plan with ZWS staff; waste strategy officers produce first drafts of comms copy or design work with internal digital communications team.
- **Internal communications sign-off process:** e.g., drafts passed to ZWS for tentative approval, drafts approved internally by service manager/TL, press releases approved internally by senior manager/Convenors, final drafts and branding approved by ZWS staff prior to publishing.

Please provide information of the proposed communications methods and activities:

- **'Must have' activities:** e.g., introduction letter, instruction leaflet, collection calendar, container labelling, corrective tags, crew cards.
- **'Business as usual' activities:** e.g., website, PR, social media, crew training, council magazine, councillor briefings, internal newsletters or emails, stakeholder communications, presentations.
- **'Nice to have' activities:** e.g., branded envelopes, outdoor and press advertising, roadshows, videos, vehicle livery.

Please confirm and set out your proposals for use of branding:

- **Use of Recycle for Scotland brand:** e.g., The service will adopt the use of the Recycle for Scotland branding for all design materials, including service leaflets, digital posters, vehicle livery, HWRC signage for materials streams etc. The service works with our internal design and print team who are familiar with the branding guidelines. The service will access the ZWS image bank for materials streams for use in printed and digital collateral.
- **LA brand and guidelines:** e.g., The service must follow corporate branding guidelines when writing letters for external customers and for scripting of copy for our website and social media platforms.
- **Utilise any Recycle for Scotland toolkits and templates collateral:** e.g., The service will work with our corporate communications and digital colleagues to adopt the ZWS toolkits into our updated printed and digital design collateral. The service has used the ZWS branding for over 10 years and will adopt the latest toolkits for all new collateral across our full service offering. The service will review recent examples of the full suite of communications materials used by other authorities who have undertaken similar service changes.

### 2.4.3 Project Monitoring Template

**Giving early consideration to how project monitoring will be undertaken following implementation is an important aspect of early project planning, to ensure the ambitions contained within your application are led by a clear evidence base and can be linked to how outcomes will be measured.**

At question 2.4.3 please adapt the table included within the form to set out how you intend to monitor the projects outputs against the predicted outcomes.

Please note, the grant supported project will be subject to ongoing monitoring and evaluation and it is a requirement that successfully awarded applicants provide the relevant reporting information (for up to five years from the start of the project) to assist in assessing whether:

- the outcomes the project have been realised, and
- the overarching aims and objective of the RIF have been realised.

Information provided will enable Zero Waste Scotland to report to the Board periodically on the projected aims against real world outcomes. This information may be used to determine the success of the funds impact to date and measure against other reporting measures (e.g., national recycling rate). This reporting information may also be used to potentially inform best practice and decision making for future funding award decisions. Where projected attainment has not been achieved Zero Waste Scotland may ask for further information around project performance and provide an update report to the Board on this.

All grant supported projects will be required to complete a quarterly monitoring report to provide updated spend, progress and risk profiles to support monitoring project delivery.

Predicted project outcomes (aligned with the aims and objective of the fund) should be identified in the completed application. It is anticipated that these will include (but not limited to):

- carbon savings (CO<sub>2</sub>e) - from fuel savings / alternative fuel vehicles;
- fuel usage reduction (from routing efficiencies) (%);
- carbon savings (CO<sub>2</sub>e) - due to increased recycling / reuse / waste reduction;

- increased recycling (weight / tonnage);
- increase / change to local (or national) household recycling rate (%);
- increase in material diverted to reuse (weight / tonnage);
- reduction in residual waste (weigh / tonnage);
- improved material quality;
- diversion of additional types of materials to reuse or recycling (e.g., WEEE / textiles, flexible plastics) tonnes;
- uptake of new / extended services (garden / chargeable) no of households / permits;
- increase in No. of households service provided to;
- increased Participation in recycling services (%); and
- litter reduction / improved cleanliness in areas.

The baseline and post implementation monitoring that will be used to assess realisation of project outcomes should also be detailed in completed applications. In order to prevent the duplication of work it is anticipated that, where possible, this monitoring will be able to align with other statutory waste or carbon reporting, or with other options appraisal or analysis work currently being carried out, for example:

- annual Waste Data Flow returns (annually in February);
- Public Body Climate Change Reporting Duty / Annually November; and
- national waste composition studies.

The monitoring information included in the application will be used in the setting of project specific monitoring milestones within the formal grant agreements, that will also specify the period monitoring information will need to be provided (this may vary depending on project and outcome type).

In addition to this, supported projects will be expected to support completion of surveys or participate in interviews carried out by Zero Waste Scotland (or approved partners) to support the evaluation of delivery on the aims and objectives of the overall RIF fund.

Please use the below table within the application form to detail monitoring that will be used to support the evaluation of whether the predicted outcomes of your project (e.g., increased recycling and / or carbon savings) have been realised. This should include what baseline data the level of change is to be measured or compared against as well as post project implementation monitoring.

Worked examples have been included in the template to demonstrate the type and level of detail that is being looked for.

### **Assessment criterion – Impact & Transformation / Evidence Led**

<b>Expected Outcomes</b>	<b>Baseline monitoring data that outcomes will be benchmarked against</b>	<b>Post implementation monitoring used to assess outcome realisation</b>	<b>When will post implementation data be available from?</b>	<b>Frequency &amp; duration of monitoring</b> (How often and for how long will it continue to be carried out?)	<b>Describe the committed monitoring activity</b>
<b>e.g. Diversion of new / or additional materials to recycling (tonnage)</b>	<i>Waste Composition analysis from before the change</i>	<i>Post change waste composition analysis</i>	<i>6 months after the start of the rollout new service in March '24</i>	<i>WCA will be carried out 3 months after new service rollout, over 2 collection cycles.</i>	<i>WCA agreement is in place with external contractor to carry out pre / post analysis.</i>
	<i>Collection route weight data (pre)</i>	<i>Collection route data (post change)</i>	<i>Full Council area data available from Mar'25 when rollout complete</i>	<i>Collected daily for each collection route during and after service change. Part of BAU Wastedataflow process.</i>	<i>Existing process where vehicles go over weighbridge prior to tipping.</i>
	<i>Presentation studies (pre)</i>	<i>Presentation studies (post)</i>	<i>3 months after start of service change rollout in March '24</i>	<i>Throughout 12-month implementation period, and 3 months post completion in final area.</i>	<i>2 x temporary monitoring officers employed for new service rollout project.</i>
<b>e.g. Reduce contamination levels in recycling bins (%)</b>	<i>Re-processor analysis results (pre)</i>	<i>Re-processor analysis results (post)</i>	<i>1 month after start of service change rollout in March '24.</i>	<i>Monthly reports provided by re-processors, gathered for duration of service change &amp; post completion.</i>	<i>Resource impact is on MRF / outlet material is sent to. Requirement of MRF COP.</i>
	<i>In-cab / Crew contamination data (pre)</i>	<i>In-cab / crew contamination data (post)</i>	<i>Collected from start of service change rollout – Mar'24</i>	<i>Collected daily for each collection route during and after service change.</i>	<i>Collection crew log on in cab units. Information officer generates monthly reports on contamination.</i>

<b>Expected Outcomes</b>	<b>Baseline monitoring data that outcomes will be benchmarked against</b>	<b>Post implementation monitoring used to assess outcome realisation</b>	<b>When will post implementation data be available from?</b>	<b>Frequency &amp; duration of monitoring</b> (How often and for how long will it continue to be carried out?)	<b>Describe the committed monitoring activity</b>
<b><i>e.g. Increase in material diverted to reuse (tonnage)</i></b>	<i>Weight (from number items) of material diverted to reuse. (pre)</i>	<i>Weight (from number items) of material diverted to reuse (post)</i>	<i>3 Months after new service starts – Mar'24.</i>	<i>Quarterly reports from reuse partners, as part of service level agreement so provided on an on-going basis.</i>	<i>Weight / items number reports provided by Reuse partner on a quarterly basis.</i>
<b><i>Carbon savings per annum (due to route efficiencies / fuel savings)</i></b>	<i>RCV fleet fuel usage by vehicle (year) – pre change</i>	<i>RCV fleet fuel usage (post implementation)</i>	<i>Full year post change data will be available Sep '24</i>	<i>Fuel usage data is collected on an ongoing basis but proposed here to collate years' worth of data post change into a report. 2 years post change</i>	<i>Fuel fobs automatically monitor the fuel usage of each vehicle during refuelling. Fleet fuel officer will run annual reports per vehicle.</i>

### 3 Project Financing

**This section covers the financing of the project, including local authority funding, partner funding and the funding requested from the RIF. It includes questions regarding longer term project viability and the supporting revenue costs.**

With reference to the questions below please note that we will review the answers given in the corresponding section of the Application Form together with any relevant supporting financial information provided by the applicant. We will determine whether the information provided is sufficient to make a proper determination and if not, will request further information where needed.

**In all responses, please reference any delivery partners that may be involved in the project and any financial contributions they are making.**

#### 3.1 Additionality

In this section, please detail how the RIF contributes to the financial deliverability of the Project.

In this section, responses should demonstrate that the application is for capital investment to progress an in-scope project, for which funding is not available internally, or is only partly funded by another source.

##### 3.1.1 Please provide details of why RIF funding is required to enable the project to proceed as planned.

Please also provide information on other funding sources that have been investigated, whether this has been successful or not, and the amount/s secured from each funding source.

This should include:

- a) internal local authority budget sources, including confirmation from the Local Authority's Section 95 Officer that no or only limited internal funding is available to support the projects delivery, and
- b) details of external funding sources considered, for example project partner investment or loans or prudential borrowing, in current or future years.

#### Assessment Criterion – Additionality

##### 3.1.2 Please explain what would happen if RIF funding was not secured in the short, medium and longer term; or if the amount you are offered is less than the amount you have requested.

#### Assessment Criterion – Additionality

##### 3.1.3 Please describe in detail (if relevant) how the project expects to generate any income or savings? If relevant, please set out in paragraphs labelled a), b) c) and d) as shown below:

- a) please explain how the income/savings will be generated;
- b) please specify where the income/saving is expected to come from (i.e. who will pay?);
- c) please quantify the income/saving you are expecting in a simple forecast; and

- d) please explain whether the income/saving is incorporated within the on-going revenue costs of the scheme, and, if so, please provide details.

## **Assessment Criterion – Feasibility**

### **3.2 Capital and other one-off project costs, funded by the RIF**

Use the table included within the application form to outline any eligible capital or one-off implementation costs associated with the project, please add lines and numbers sequentially as required.

Eligible capital costs (capital fundable) for waste and recycling service specific assets *may* include, but are not limited to:

- plant, equipment, and machinery;
- collection containers and equipment;
- delivery and installation of assets;
- buildings or compounds;
- site alterations (e.g. HWRC or improvements to communal recycling facilities or Recycling Points);
- modifications to reception, storage, sorting, processing, and for assets required for onward movement of materials (including modification or upgrades to existing plant and equipment);
- digitalisation and automation; and
- vehicles.

In-scope (capital fundable) project implementation costs must comply with the following:

- Eligible project implementation costs in-scope of the Fund must be directly attributable to either the construction, installation, or commissioning phase of an approved capital purchase or infrastructure project.
- For the avoidance of doubt, to be in-scope of the fund, costs must be eligible for capitalisation in the local authority's financial accounts, in accordance with normal accounting practice.
- Where implementation costs meet with the above-mentioned criteria, those costs are only eligible for funding where existing local authority revenue lines do not exist to cover these functions.
- Where implementation costs meet with the above-mentioned criteria, eligible project implementation costs may include staff time where local authority officers or operatives (including agency) are required to backfill posts during the project implementation phase.

Examples of in-scope (capital fundable) project implementation costs (time-bound) include:

- Local Authority supplied kerbside service change pilots assisting bin distribution provider;
- construction project manager or supervisor time (internal, agency or consultancy) costs directly attributable to construction phase or distribution phase of an approved capital infrastructure project;
- field officer or operative time directly attributable to distributing communications material or stickers during the direct distribution stage of kerbside containers;
- field officer or operative time directly attributable to distributing funded RFID tags to new or existing kerbside container stock;
- staff time involved in the collection and or delivery of capital assets to a project specific location, or removal of redundant assets, as assessed within the grant application;

- software licensing fees (year one only of software licensing required for the initial implementation and operation of funded software/hardware);
- ICT staff time involved in the installation or direct configuration of new hardware or software funded by the RIF;
- in-cab system project officer time directly attributable to initial system configuration e.g., route planning and building;
- bin delivery crew time (internal or externally appointed) directly linked with delivering funded assets e.g., recycling point infrastructure and new kerbside containers;
- staffing and resource costs directly linked to building recycling point foundations or housing for newly funded assets;
- external vehicle hire, fuel costs or public transport costs incurred by in-scope staff time or contractors time directly attributable to asset construction or service rollout phase (N.B. running costs of existing Council vehicles and fuel stocks are ineligible);
- external contractor time to train staff in the operation of new vehicles, plant or digital infrastructure; and
- design, production, and installation time for funded signage assets.

### **Assessment Criterion – Feasibility.**

#### **3.3 Capital and other one-off project costs, not funded by the RIF**

Use the table included within the application form to outline any one-off implementation costs associated with the project, please add lines and numbers sequentially as required.

Please note that these costs are not funded costs, however, your application must contain a commitment to an acceptable level of essential non-fundable implementation and public communications expenditure. This information is required to provide confirmation of a commitment to cover any necessary associated ineligible project implementation costs, as verified by a Local Authority senior accountant (or equivalent). These commitments should also be included within the submitted implementation plan and will form part of the contract deliverables and milestones where a grant is awarded.

A complete application must include a breakdown of how project implementation resources will be used, and when, and reflected within the Project Timetable in the application form. A Local Authority or partnership must commit to funding by another means any project critical out-of-scope project implementation costs identified within the application. Non-funded implementation costs will be included in the final contract deliverables along with funded deliverables.

Please note re implementation plan communications costs, Zero Waste Scotland's best practice evidence shows effective service change communications cost between £0.50 - £1.50 per household (this will vary depending on local circumstances). You may wish to include a contingency budget to cover unexpected communication costs.

Out-of-scope (non-fundable) implementation costs are shown below:

- Any fees or other costs associated with the development of an application, or feasibility assessment costs for the development of an application.
- Salary costs of local authority officers, operatives (including agency), contractors, fees, and all other revenue expenditure unless directly attributable to the building, acquisition, upgrading, installation, or commissioning of project assets such as property, plant, machinery, buildings, technology, or equipment.

- Planning application or building warrant (development management) fees incurred following application award, specific to the approved infrastructure project.
- Regulatory licensing year-one fees incurred following application award, specific to the approved infrastructure project (new site fees only - site modifications where revenue lines exist for regulatory fees, are ineligible).
- Communications plan delivery costs (e.g., design work, production time, printing, direct mailing, advertising).

### **Assessment Criterion – Feasibility**

#### **3.4 Value for money, budgets and on-going costs**

In this section please provide detailed information on how the above costs were arrived at and how the on-going costs will be managed.

This section should cover details of any outputs from feasibility studies or options appraisals undertaken. providing sufficient explanatory notes as applicable to answer the questions within this section.

##### **3.4.1 Overall value for money**

Please describe the process you went through, such as an options appraisal or business case, to determine that the project and service design that you have opted for achieves value for money, in terms of overall impact and transformation, for the grant funding sum applied for.

A good application provides details of how the service or infrastructure solution chosen is value for money in comparison with other solutions considered.

### **Assessment Criteria – Impact and Transformation**

#### **3.4.2 Costs, procurement and value for money**

For **each line** of project costs in section 3.2, of the application form please explain;

- a) how the costs have been estimated.
- b) how the item(s) will be procured; and
- c) what measures will be taken to ensure value for money when procuring.

Applicants should provide evidence of any for e.g., supplier's quotes, bills of quantities, consultation estimations, to confirm estimated costs at section 4 of the application form.

### **Assessment Criterion – Feasibility**

#### **3.4.3 Cost increases**

Please provide information on how you will manage any cost increases above your estimates for the assets applied for. Please also include information on how any actual cost increases will be met. For instance: raw material price increases; increased manufacturing costs and contract and supply costs.

Please note any inflationary price increase for purchases made against future financial years should be accounted for in project costs included in section 3.2.

### **Assessment Criterion – Feasibility**

### **3.4.4 On-going revenue costs**

Please provide an overview of the implications of ongoing revenue costs resulting from implementation of the proposed project, and provide confirmation that the authority has gained approved or is seeking approval for any new revenue costs. Your response should provide confidence that you have considered the short, medium, and longer-term implications are covered and the project is sustainable. You should include evidence of commitment to ongoing revenue costs with your application, for example committee papers.

#### **Assessment Criterion – Feasibility**

### **3.4.5 Asset allocation and depreciation**

Please provide details of how existing assets are to be used to deliver the project, if applicable, and how the applied for assets, funded through the RIF, will complement or replace these existing assets and why.

If you have existing assets/infrastructure that will become redundant due to the implementation of this project, please provide details of these assets and your local authority's practices for disposing of assets at the end of life. Please also provide information on replacement programmes for current assets, that are utilised as part of the service for which funding is being sought (for clarity only where these are directly owned by the authority rather than leased).

Please provide details of the expected depreciation period and lifespan of the assets for which funding is sought and provide specific detail, by item, of how you expect to dispose of the RIF-funded assets at their end of life. If you foresee redundancy of RIF-funded assets within 10 years of the purchase of the asset, please provide details. This requirement is in-keeping with the following contractual clause within the Project Funding Agreement: "The Recipient shall not, without prior written consent of Zero Waste Scotland, dispose of any asset funded, in part or in whole, with the Project Funding within 10 years of the asset being acquired or developed.")

#### **Assessment Criterion – Feasibility and Additionality**

## **4 Supporting & Supplementary Information**

### **4.1 Supplementary Information**

Please provide any supporting evidence within section 4 of the application form, but only where it has been requested against a specific question.

Please provide a numbered list of any attachments submitted in support of your application, ensuring the attachments are numbered likewise.

## Glossary of Terms

### ***‘Application Assessment Panel’, ‘The Panel’***

A group of three Zero Waste Scotland RIF Team members who are responsible for individually assessing an application against each of the six Assessment Criteria and subsequently convening as a panel to discuss scores and agree on a recommendation to the RIF Board on whether to fund, part-fund, or reject an application.

### ***‘Assessment Criteria’***

The following six areas against which RIF applications will be evaluated and given a weighted score:

- Evidence-led
- Strategic and Collaborative
- Impact and Transformation
- Additionality
- Feasible
- Acceptable

### ***‘Code of Practice’***

A set of requirements that signatories of the Household Recycling Charter for Scotland are expected to follow. The Code of Practice sets out the basis for a consistent approach to the provision of recycling services by local authorities in Scotland.

### ***‘Communications Team’***

The Zero Waste Scotland team responsible for providing communications support to local authorities. The Communications Team will assess the relevant elements of an application form and provide feedback to the Application Assessment Panel.

### ***‘CoSLA’***

The Convention of Scottish Local Authorities

### ***‘DRS’***

Deposit Return Scheme

### ***‘EPR’***

Extended Producer Responsibility

### ***‘Grants Team’***

The Zero Waste Scotland team responsible for providing technical advice and support relating to grant programmes, and drawing up Agreements for approved projects. The team consists of in-house Zero Waste Scotland colleagues and third party contractors commissioned to provide impartial expert advice on the eligibility of project costs for RIF funding.

### ***‘Guidance Document’, ‘The Guidance’***

The instructions above, which have been designed as a reference document to walk local authorities through the process of applying for funding through the Recycling Improvement Fund.

### ***‘Household Recycling Charter’, ‘The Charter’***

A declaration of intent to provide services that deliver local and national household recycling benefits, encouraging high levels of citizen participation in waste prevention, recycling, and re-use. Local authorities who have signed the Charter have made a commitment to improving household waste and recycling services in line with the Code of Practice.

***‘New Supplier Form’***

A document to be populated upon confirmation of an organisation’s first funding award from Zero Waste Scotland to provide the payment details required to raise a purchase order.

***‘Project Funding Agreement’, ‘the Agreement’***

The contract setting out the terms of the grant funding for successful applications, including key project deliverables, financial milestones, associated payments, and the project timetable.

***‘Recycling Improvement Fund’, ‘RIF’, ‘The Fund’***

£70 million Scottish Government funding to provide local authorities with capital grants to improve recycling infrastructure.

***‘Recycling Improvement Fund Board’, ‘RIF Board’, ‘The Board’***

A panel of appointed representatives from Scottish Government, SOLACE, COSLA, Zero Waste Scotland, and SEPA who are responsible for reviewing the recommendations made by the Application Assessment Panel. The Board makes the final decision on whether to reject an application, request additional information and defer a decision to the next Board meeting, or to submit a recommendation for funding to the Minister for Green Skills, Circular Economy and Biodiversity for ratification.

***‘Recycling Improvement Fund Team’, ‘RIF Team’***

The Zero Waste Scotland team fully dedicated to the Fund, responsible for assessing RIF applications, making recommendations to the RIF Board, and supporting the implementation and monitoring of approved projects.

***‘Recycling Partners’***

Zero Waste Scotland colleagues assigned to local authorities to provide guidance on RIF applications and project implementation.

***‘Recycling Team’***

The Zero Waste Scotland team responsible for both non-RIF related local authority recycling support and providing guidance on the development of RIF applications up to the point of submission.

***‘Request for Payment’***

A form which must be populated by a local authority in order to claim grant funding after a Milestone has been completed. Requests for Payment should be accompanied by evidence of expenditure, as detailed in the above guidance.

***‘RIF Grant’***

A funding award made to a local authority project from the Recycling Improvement Fund.

***‘SEPA’***

Scottish Environment Protection Agency

***‘SOLACE’***

Society of Local Authority Chief Executives

***‘Waste Targets Route Map’***

A policy document setting out a series of interventions to address Scotland’s 2025 Waste and Recycling Targets and longer-term Net Zero ambition. Currently in development.