

**DfT Local Transport Air Quality Challenge Innovation Grant
GRANT SPECIFICATION & EVALUATION CRITERIA**



**Department
for Transport**

**DfT LOCAL TRANSPORT AIR QUALITY CHALLENGE INNOVATION
GRANT**

GRANT SPECIFICATION & EVALUATION CRITERIA

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1. BACKGROUND INFORMATION

1.1. Overview

- 1.1.1. The Department for Transport (DfT) works with its agencies and partners to support the transport network that helps UK businesses and gets people and goods travelling around the country. Transport accounts for around a quarter of UK greenhouse gas emissions and affects air quality at the roadside. The Department is working on a [range of schemes](#) to reduce emissions by promoting public transport choices, supporting the market for innovative forms of transport and encouraging a move to cleaner and lower carbon vehicles.
- 1.1.2. The EU Directive on Ambient Air Quality (2008/50/EC) provides the strategic framework for tackling air quality across the Europe by setting legally binding limit values for a range of air pollutants. The purpose of the Directive is to help protect human health. In the UK, this European framework is implemented through the [Air Quality Regulations 2010](#). Sections 25 – 27 of the legislation specify the Secretary of State's commitment to 'draw up and implement a short-term action plan' to reduce pollution levels where thresholds are exceeded.
- 1.1.3. Following the successful funding of four projects in the NO₂ mitigation competition in 2014, the Department for Transport (DfT) is holding a targeted-call competition for grant funding of innovative research projects in local air quality and transport challenges.
- 1.1.4. The Department for Transport invites proposals for novel solutions that aim to solve a local transport **and** air quality challenge, using on-vehicle or off-vehicle methods. DfT expects to offer grants to 3-6 proposals from a total pot of £250,000. Proposals should support local decision making and action, advancing credible, deployable methods of understanding and modifying what is happening in real roads and streets, such as:

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- 1.1.4.1. Ways of characterising with greater spatial, temporal or source resolved detail the air pollutant emissions from the transport fleet or the effect of transport air pollution mitigation measures in real-time or near real-time;
- 1.1.4.2. Measurement systems to better characterise the NO₂ fraction in vehicle exhaust, especially in real/near real-time;
- 1.1.4.3. Using smart traffic management systems to reduce air pollution emissions;
- 1.1.4.4. Other ways of modifying route choice, driving style, or engine management systems in response to air pollution concentrations and/or to reduce air pollution emissions;
- 1.1.4.5. Retro-fit systems to reduce both energy use and emissions, or dynamic engine optimisation for high mileage urban vehicles;
- 1.1.4.6. Novel approaches (e.g. in charge-point functionality, accessibility, or technologies) to using rapid EV-chargers to increase EV or ULEV uptake in or around air pollution hotspots, or for ULEVs to be targeted at pollution hotspots.

1.2. Who can apply?

- 1.2.1. This competition is open to academia, the private sector (including SMEs), local authorities or collaborations between such organisations. Proposals must demonstrate that the approach is novel or innovative, either through a wholly new approach or by applying an established approach from another field to a transport and air quality challenge.

1.3. Competition criteria

- 1.3.1. The DfT is looking to explore and exploit technology, capabilities and knowledge that will address air quality and transport problems/issues and move transport forward in the UK. One way that we are approaching this is through collaborative delivery of short, sharp and potentially ambitious projects that are capable of delivering tangible benefits.
- 1.3.2. When drafting a proposal for this competition, the following criteria **must** be considered:

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- 1.3.2.1. The proposed application must be seeking to provide a technological and innovative solution to a local air quality and transport challenge.
 - 1.3.2.2. The 100% funding amount is flexible for each project with a total funding of £250,000 in the pot for all projects. It is anticipated that between 3-6 projects will be funded.
 - 1.3.2.3. The applicant is responsible for ensuring that they (the company/consortium) do not exceed the grant aid limit for the organisation of more than €200,000 in 3 fiscal years, see [state aid guidance](#).
- 1.3.3. Our priority is for solutions that can mitigate the issues affecting the existing road network. Proposals that may be more suitable on new road networks are however also still welcome.
- 1.3.4. This competition aims to discover a new proof of concept to tackle air quality and transport challenges. It seeks to fund product development on the TRL scale 3-6 (see Figure 1). Proposals that are **out of scope** of this competition include the following:
- 1.3.4.1. Solutions in the area of socio-economic research, communications research, market research or literature review.
 - 1.3.4.2. Proposals that merely seek to refine and or improve the way we model air quality impacts.
 - 1.3.4.3. Proposals that attempt to reduce pollutant concentrations from areas outside of the road network.
 - 1.3.4.4. Proposals that merely highlight or copy current or previous pollution reduction roadside solutions inside or outside the UK.
 - 1.3.4.5. Barriers impregnated with titanium dioxide.
 - 1.3.4.6. Solutions involving improving air quality using plants or vegetation.
- 1.3.5. Proposals will be assessed to ensure the grant beneficiaries have all the appropriate skills and expertise to successfully carry out the project. Proposals should:
- 1.3.5.1. Explain the degree of pollution reduction offered by the solution and be able to quantify this;
 - 1.3.5.2. Credibly demonstrate the impact of the innovation, how it can be practically deployed;
 - 1.3.5.3. Demonstrate an understanding of the air quality challenges that face the UK transport system;

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- 1.3.5.4. Demonstrate an understanding of the science/technology behind the proposed solution;
- 1.3.5.5. Consider the limitations for the UK (e.g. legislative);
- 1.3.5.6. Name the key members of the proposed team for delivering the programme of work, including any relevant authority involved in air quality management (e.g. highway authority, local authority etc.).

1.4. Who provides the funds?

- 1.4.1. The DfT's [Science and Research Division](#) is responsible for funding this competition. After this funding is completed, there will be no further funding available from the DfT's Science & Research Division.

1.5. Technology Readiness Level range

- 1.5.1. The competition is designed to support the development of an initial prototype, a proof of concept or a feasibility study that demonstrates an innovative solution to transport challenges. In terms of Technology Readiness Levels (TRL), this funding route will indicatively support projects between 3 and 6 on the TRL scale (see Figure 1).

Figure 1: Technology Readiness Level (TRL) scale



1.6. How to apply for funding

- 1.6.1. To apply for grant funding, applicants should review the information provided here and complete and submit the Grant Application Form which can be found on the Knowledge Transfer Network (KTN) website <http://bitly.com/DfTAQ2>. **Please only apply using the specific form for this competition.**
- 1.6.2. There must be a response to every question. In formulating the proposal, please pay attention to the outputs expected in the required project deliverables (see paragraph 1.7) and the evaluation criteria (see paragraph 1.11 and paragraphs 7.1 to 7.5).
- 1.6.3. Keep within the maximum word counts noted in brackets in each section of the application.
- 1.6.4. Where possible, it should be highlighted how DfT support for the proposal provides value for money.
- 1.6.5. Do not submit any other information except the Grant Application Form in the form of both a pdf file **and** a Word document.
- 1.6.6. The deadline for the Grant Application Form is midnight on 2nd November 2015. Please send the completed Grant Application Form in both formats to: research.grants@dft.gsi.gov.uk
- 1.6.7. Any responses not submitted in the above manner may be rejected.
- 1.6.8. This scheme will operate on an open and transparent basis; the criteria used to assess proposals and details of the marking scheme for evaluation are available in paragraphs 7.1-7.5 of this document. Please note that feedback will not be provided to unsuccessful candidates.
- 1.6.9. A grant is not payable on any VAT that the grant beneficiary is able to recover from HMRC. Grants are outside the scope of VAT and therefore you cannot add VAT on the invoice to the Department (see paragraph 6.2).
- 1.6.10. The final invoice should be based on costs only. There should no profit margins added to the costs (see 6.3).

1.7. Required project deliverables

- 1.7.1. The DfT expects a high quality, comprehensive and succinct (up to 20 pages) Final Report on the research conducted that clearly sets out:
 - 1.7.1.1. The solution proposed;

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- 1.7.1.2. The work proposed and how this advances the solution;
- 1.7.1.3. The findings;
- 1.7.1.4. Next steps to deploy the solution, if proven.

1.8. Audience for the Final Report

- 1.8.1. The Final Report may be disseminated to DfT colleagues, Highways England, Department for Environment, Food and Rural Affairs (Defra) and other key stakeholders and/or made publicly available. Grant beneficiaries may prepare two versions of the Final Report, one for DfT's internal use and one public version in order to protect any Intellectual Property Rights, where applicable.

1.9. Expectations of the project

- 1.9.1. There will be a project initiation meeting in the first week of December 2015 to discuss the details of the proposal and ensure that any comments received during the grant application review process are discussed.
- 1.9.2. The grant beneficiary will provide a Final Report written in plain English suitable for a non-specialist (see paragraph 1.7).
- 1.9.3. The grant beneficiary's solution should be practicable and take into account any requirements for implementing the solution to the UK transport system.
- 1.9.4. The grant beneficiary is to provide monthly progress reports (see paragraph 2.1).
- 1.9.5. All work must be completed and the Final Report is to be delivered by 21st March 2016.

1.10. Governance

- 1.10.1. The grant beneficiary should make sure that all reports are written and presented to a professional standard and are suitable for non-specialists, with all acronyms and unavoidable technical language clearly explained.
- 1.10.2. The grant beneficiary must ensure that the report is comprehensive; that it covers all areas outlined in the proposal. The report should be concise and no more than 20 pages long, excluding references or data tabulation annexes.
- 1.10.3. The grant beneficiary will demonstrate each month that progress is in line with the expected milestones and that the research will deliver or disprove the expected solution. If at any point the grant holder

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discovers that the solution is no longer viable and/or if external factors make it unviable, they will inform the DfT who may terminate the rest of the grant and part pay the grant according to the work completed.

1.11. Evaluation, Management and Administration

- 1.11.1. All proposals will first be sifted according to their impact as set out in question 4 of the application form, and as detailed in section 7 below. Proposals that pass this initial sift will be evaluated using all the Evaluation Criteria detailed in section 7 below. A panel of experts consisting of representatives of the DfT and partners will review the proposals to ensure each receives a fair assessment.
- 1.11.2. The proposed programme of work should be designed to meet the project requirements and timetable. It would be helpful if this also showed when development, testing and finalised outputs are timetabled to be delivered. It is advisable to include a Gantt chart in section 3 of the Grant Application Form.
- 1.11.3. The proposal should also highlight when and what input will be expected from DfT and when active contributions will be required from us (e.g. signing off a milestone).
- 1.11.4. DfT would be happy to consider proposals from consortia. Bidding consortia should aim to include a partner who is a local or other authority involved in air quality management (identify them in section B8 of the Grant Application Form). DfT reserves the right to encourage collaborations where such a partner is not included in a bid.
- 1.11.5. Any sub-contractors or associates who may be employed to undertake any sections of the research should be separately identified in section B7 of the Grant Application Form, along with their respective roles and how they will be managed detailed in section 5 of the Grant Application Form. The grant beneficiary will be responsible for the delivery of any sub-contractors.
- 1.11.6. Section 3 of the Grant Application Form should include an assessment of risks to project delivery and mitigations. The risk level should be shown as high, medium or low.

2. SERVICE LEVELS AND PERFORMANCE

- 2.1. Project plan and milestones (including dates for completion)

The project plan is set out in Table 1:

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Table 1: Plan and milestones

Milestone	Deliverables	Milestone date
Initiation meeting to define any input data and discuss project management method and oversight.		Project Start Date 1 st December 2015
Progress Reporting	Monthly brief progress report	4 th January 2016 1 st February 2016 1 st March 2016
Project Work completed, Results compiled and report finished.	Finished report delivered to DfT	21 st March 2016

- 2.1.1. The DfT shall have the right to request the grant beneficiary to include any reasonable changes to the project plan.
- 2.1.2. The grant beneficiary shall perform its obligations so as to achieve each milestone by the milestone date. Changes to the milestones shall only be made in the event of a DfT default which affects the grant beneficiary's ability to achieve a milestone by the relevant milestone date.
- 2.1.3. The grant beneficiary will liaise with the DfT project manager, Sviti Pabari for the duration of the project, with meetings as necessary.
- 2.1.4. The grant beneficiary will provide progress updates three times during the project (4th January, 1st February and 1st March 2016).
- 2.1.5. Two options are available for grant payment:
- The grant beneficiary to receive 30% of the grant when they accept and sign the Grant Offer Letter. The remaining 70% will be paid at the end of the project once the grant beneficiary had completed the project as outlined in the proposal, provided all relevant financial documentation such as receipts and the report is approved by the DfT.
 - Grant beneficiaries not choosing the above option will receive a single payment of the total grant at the end of the project once the final deliverables have been approved by the DfT.

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- 2.1.6. If the grant beneficiary fails to comply with any of the conditions of the grant set out in the Grant Offer Letter, DfT may reduce, suspend, or withhold grant payments, or require all or any part of the grant to be repaid.

3. INTELLECTUAL PROPERTY RIGHTS

- 3.1. The successful applicant will remain the owner of their intellectual property (IP), but will be expected to agree that DfT may disseminate any information, know-how, system or process learned from or created as part of the project among persons or bodies who have responsibility for similar projects. The successful applicant will be expected to agree that such persons may share and use freely all such information, know-how, system or process for their own purposes. The funding agreement will also require the successful applicant to grant a licence to DfT under section 91(3) of the Copyright Designs and Patent Act 1988 in relation to the future copyright in works funded in whole or in part by the grant. The licence will be non-exclusive and granted without provision for the payment of royalties for the full period protected by copyright in the works. This will allow DfT to copy, issue or adapt any such works for its own purposes.

4. LOCATION

- 4.1. The services will be carried out at a suitable location of the grant beneficiary's choosing.

5. SECURITY REQUIREMENTS

- 5.1. There are no specific security requirements.

6. BUDGET

- 6.1. The amount applied for is flexible. However the overall pot of funding for all projects is limited to £250,000 and the DfT expects to fund between 3-6 projects with this fund.
- 6.2. A grant is not payable on any VAT that the grant beneficiary is able to recover from HMRC. Grants are outside the scope of VAT and therefore you cannot add VAT on the invoice to the Department.
- 6.3. The final invoice should be based on costs only. There should be no profit margins added to the costs.
- 6.4. On application for final payment the grant beneficiary will complete a Statement of Grant Usage to explain the costs incurred, a spreadsheet showing staff time utilised and supply receipts for all individual items costing £20 or more. The total cost of non-receipted items should not exceed £100.
- 6.5. The grant beneficiary will be required to complete F001 form (Grant Vendor form) and provide their bank account details on company letter-headed paper.

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7. MARKING SCHEME FOR EVALUATION

7.1. This section provides notes on the assessment criteria for proposals. Applicants should refer to this section (paragraphs 7.1 to 7.5) to help them write good quality proposals and to maximise their score.

7.2. The scoring guide below and the Evaluation Criteria give indicative marks. Evaluators are free to use the full range up to the maximum score per section.

7.3. The applications will be marked on the following five sections (as in the Grant Application Form).

7.4. All sections have a weighting factor of 1, except Section 2 and 4 which have a weighting factor of 3 and 4 respectively.

Sections	Weighting factor	Maximum score
1. What is the air quality and transport challenge or issue being addressed by the proposed project?	1	10
2. What is the solution being proposed? What innovations are being presented and why would they improve the issue being addressed in the proposal?	3	30
3. How is this project going to be delivered and by whom? Please provide details of deliverables, project plans and methodology. The applicant must demonstrate an ability to structure the work needed to test the feasibility of their innovation.	1	10
4. How will the output of the proposed project deliver impact on air quality and UK transport? What is the impact of the proposed project on air pollutant concentrations? How could this solution be deployed on a larger scale in the UK? Has a relevant authority (e.g. local authority, highways authority etc.) been engaged with on this project?	4	40
5. Project finances. Does the project demonstrate value for money?	1	10
TOTAL	10	100

7.5.Evaluation Criteria and Scoring Guide.

1. What is the air quality and transport challenge or issue being addressed by the proposed project?

Scoring Guide

0	The proposal has no clearly defined air quality and transport challenge or issue to solve.
2	The proposal has described the air quality and transport challenge but provided no evidence.
4	The proposal has described an evidenced air quality and transport challenge.
6	The proposal has described an evidenced air quality and transport challenge with links to the priorities of the DfT or other government departments.
8	The proposal has described an evidenced air quality and transport challenge with links to the priorities of the DfT or other government departments. Effort has been made to identify specific beneficiaries with the amount of pollution reduction specified.
10	The proposal has described an evidenced air quality and transport challenge with links to the priorities of the DfT or other government departments. Effort has been made to identify specific beneficiaries with the amount of pollution reduction specified. The number of beneficiaries has the scope to represent a significant impact on the UK.

2. What is the solution being proposed? What innovations are being presented and why would they improve the issue being addressed in the proposal?

Scoring Guide

0	No detail is given on the technical solution.
6	The technical approach is poorly described

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12	The technical approach described is unlikely to be credible for the technical challenge, or the technical solution has already been attempted.
18	The technical approach is credible but may not be sufficient to meet the technical challenge, or the innovations proposed are marginal and incremental.
24	The technical approach described is credible and is likely to meet the technical challenge. The innovation is significantly different from previous work.
30	The technical approach described is highly credible and innovative. It shows a strong likelihood of meeting the challenge. The technical solution has practical applications.

3. How is this project going to be delivered and by whom? Please provide details of deliverables, project plans and methodology. The applicant must demonstrate an ability to structure the work needed to test the feasibility of their innovation.

**Scoring
Guide**

0	The proposal does not contain a plan, milestones or project team for the project and does not discuss project management
2	The proposal goes some way to describe a plan for the project, noting the expertise/skills of the team and project management.
4	The proposal contains a plan for the project, noting the expertise/skills of the team and a summary of project management
6	The proposal contains a plan for the project, noting the expertise/skills of the team and how the project will be managed. It details clear deliverables.
8	The proposal contains a plan for the project, noting the expertise/skills of the team and how the project will be managed. It details clear deliverables. The method adopted for the project is likely to be sufficient.

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- 10 The proposal contains a plan for the project noting the expertise/skills of the team and how the project will be managed. It details clear deliverables. The method adopted for the project demonstrates world class scientific and/or engineering process. It includes a Gantt chart. It has considered the risks and how the risks will be mitigated.

4. How will the output of the proposed project deliver impact on air quality and UK transport? What is the impact of the proposed project on air pollutant concentrations? How could this project solution be deployed on a larger scale in the UK? Which relevant authorities (e.g. highways authority, local authority etc.) have you engaged with on this project?

Scoring Guide

0	The impact of the proposal is not credible.
8	The impact of the proposal is credible although details are missing. It includes one of the six proposed air quality solutions noted in section 4.1 of the application form and 1.1.4 of this specification and evaluation document.
16	The impact of the proposal is credible. It includes one or more of the six proposed air quality solutions noted in section 4.1 of the application form and 1.1.4 of this specification and evaluation document. In terms of solution, it is plausible that it can be used to significantly reduce concentrations or impacts of either NO ₂ or PM _{2.5} .
24	The impact of the proposal is credible. It includes one or more of the six proposed air quality solutions noted in section 4.1 of the application form and 1.1.4 of this specification and evaluation document. In terms of solution, it is plausible that it can be used to significantly reduce concentrations or impacts of both NO ₂ and PM _{2.5} .
32	The impact of the proposal is credible. It includes one or more of the six proposed air quality solutions noted in section 4.1 of the application form and 1.1.4 of this specification and evaluation document. In terms of solution, it is plausible that it can be used to significantly reduce concentrations or impacts of both NO ₂ and PM _{2.5} . There is a deployable solution.

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| 40 | The impact of the proposal is credible. It includes one or more of the six proposed air quality solutions noted in section 4.1 of the application form and 1.1.4 of this specification and evaluation document. In terms of solution, it is plausible that it can be used to significantly reduce concentrations or impacts of both NO ₂ and PM _{2.5} . There is a deployable solution. The applicant has engaged with a suitable air quality managing authority. |
|----|---|

5. Project finances. Does the project demonstrate value for money?

Scoring Guide

0	No cost information is provided.
2	Cost information is provided, but there is no information regarding justification of costs.
4	Cost information is provided, including information regarding the justification of costs, but the costs are not justified.
6	The costs are somewhat justified, but there is not enough detail in the explanation of breakdown.
8	The costs are justified and appropriate (reflecting fair market value), but there is not enough detail in the explanation of breakdown.
10	The costs are fully justified and appropriate (reflecting fair market value), there is sufficient detail in the explanation of their breakdown. Staff costs are clearly defined with the rates used being reasonable. Other costs, such as materials, are clearly specified.