

GUIDE TO APPLICATION

PROGRAMME ON SOURCE SEPARATION OF WASTE

FUNDED BY

ENVIRONMENT AND CONSERVATION FUND



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1. INTRODUCTION

The Environmental Protection Department (EPD) launched a pilot programme on source separation of domestic waste in the Eastern District in 2004. This programme has achieved encouraging results in the quantity of recyclables collected as some of the participating estates have doubled their recyclables when compared to the 3-coloured waste separation bin system. The Government therefore rolled-out a territory-wide campaign in January 2005 to promote source separation of domestic waste with a target to recruit 1,360 estates or more to participate in this programme by 2010. In view of the success of Programme on Source Separation of Domestic Waste, the programme was extended to cover commercial and industrial (C&I) buildings in October 2007.

To enlist housing estates to implement the programme, the Environment and Conservation Fund (ECF) Committee¹ has initially approved an allocation of \$5 million to support housing estates / residential buildings to acquire suitable waste separation facilities for participating in the programme. In September 2008, the ECF committee injected an additional \$5 million to support the programme and endorsed the extension of the programme to cover C&I buildings.

1.1 Purpose of this Guide

This Guide provides guidance on application for funding *Programme on Source Separation of Waste* (the *Programme*) under the Community Waste Recovery Projects (CWRP), and describes the basic requirements and responsibilities for the recipient organisations. Upon approval of funds by the ECF Committee, recipient organisations will sign an agreement with the Government undertaking to observe the conditions of using the allocated grant and the approved budget.

1.2 Nature of Projects

The objective of the *Programme* is to facilitate residents to separate waste at source by providing waste separation facilities on each floor of the domestic buildings, and broaden the types of recyclables to be recovered, which makes the separation more convenient to residents and mobilise their participation in waste separation and recovery.

The *Programme* also encourages the provision of waste separation and recovery facilities in C&I buildings to facilitate the occupants and visitors. The scope of C&I buildings under the *Programme* carries a broader scope than just buildings used for commercial and industrial purposes under private ownership, it also covers other non-residential buildings belonging to public institutions and non-profit-making organisations (e.g. tertiary educational, medical, religious and community facilities and premises, etc.) that perform various social functions.

¹ A statutory body, which comprises mainly non-officials, was set up in 1994 under the Environment and Conservation Fund Ordinance to advise Secretary for the Environment on the use of funds. Under the Ordinance, the Secretary is the trustee responsible for the administration of the Fund.

1.3 Administration

Administration of grants for projects on the *Programme* is undertaken by Waste Reduction and EcoPark Group of the Environmental Protection Department.

2. GUIDE TO APPLICATION

2.1 Who may apply?

Incorporated owners' committees, owners' committees or any residents' organisations of private residential buildings are eligible to apply. Property management companies acting on behalf of the residents' organisations of private residential buildings are also eligible if agreement from the residential organisations is obtained before making applications.

Any estates or buildings with the same name of estate/building can only submit one application.

However, applicants from public housing estates owned by Housing Authority, Housing Society, as well as Government quarters will be excluded because they may receive other forms of Government funding.

For C&I buildings of private ownership, applications have to be made by the incorporated owners' committees or owners' committees or by the management companies on behalf of the incorporated owners' committees or owners' committees. For C&I buildings of institutional nature, applications could be made by the relevant public bodies / agencies or non-profit-making organisations or their associated facilities management offices.

2.2 What are the funding limits?

Funds will be granted for partial support to the set-up cost. A limit of 50% of the total actual expenditure spent for the approved items, not exceeding a limit of HK\$800 per building floor, will be reimbursed.

The funding support shall cover expenditure on procurement, delivery and installation of waste separation facilities and equipment or tools to be used in the source separation programme only.

2.3 Duration of Projects

The proposed projects must continue to run for at least 36 months after completion of the installation of the waste separation equipment and facilities.

2.4 How to apply?

Applicants have to complete an application form which is obtainable from -

- Environment and Conservation Fund Secretariat
5/F Southorn Centre, 130 Hennessy Road
Wan Chai, Hong Kong
Tel: 2835 1219; Fax: 2827 8138
- Waste Reduction and EcoPark Group
Environmental Protection Department
2/F East Wing, 88 Victoria Road
Kennedy Town, Hong Kong
Tel: 2872 1766; Fax: 2872 0389
- Environment and Conservation Fund Website
(hyperlink: <http://www.ecf.gov.hk/en/application/index.html>)

Completed application form should be returned to Waste Reduction and EcoPark Group, Environmental Protection Department (at 2/F, East Wing, 88 Victoria road, Kennedy Town) by 30 September 2011. Applications will be processed on a first come first served basis until the allocated amount of \$10 million is exhausted.

2.5. Can the projects be profit-making?

The project should not be launched primarily for making profit. Should any income arise from the sale of recyclables in the project, it should be used for the benefit of the buildings such as offsetting the capital cost or other expenses (e.g. maintenance cost) of the project.

2.6 What are the vetting procedures?

A Waste Recovery Projects Vetting Sub-committee established under the ECF Committee will consider and vet the applications for the *Programme*. The following steps will be taken after an application is received.

Step 1: Upon receipt of an application by the Waste Reduction and EcoPark Group of Environmental Protection Department, an interim reply will be sent to applicant to acknowledge receipt of the application. Where necessary, the applicant will be requested to provide clarification or supplementary information.

Step 2: A list of applications that meet the vetting criteria will be submitted and recommended to Waste Recovery Projects Vetting Sub-committee for consideration.

Step 3: The Vetting Sub-committee will approve or reject an application or request the applicant to provide further information. The Vetting Sub-committee

will also consider the budget, and where necessary, amend the budget details and set ceiling for individual expenditure items.

Step 4: The Vetting Sub-committee Secretariat will inform the applicants of the results within one month upon the endorsement of the Vetting Sub-committee.

2.7 What are the vetting criteria?

The following criteria are used in assessing individual applications:

- (1) Projects must help the private residential buildings/estates or C&I buildings to participate in the *Programme*. The project must promote and realise the principle of source separation and facilitate the residents, occupants and visitors in these premises to take part in waste separation and recovery;
- (2) Projects should adopt any one of the recognised waste recovery separation modes mentioned in the Guidebook published by the EPD for the *Programme* or other proposed recovery modes that are in line with the *Programme*.
- (3) Whether the proposed budget is prudent, realistic and cost-effective.
- (4) Whether the project is well-planned and practicable, and in compliance with relevant laws and regulations such as Fire Safety and Buildings Regulations.
- (5) Whether the proposed project has alternative sources of funding support.
- (6) Whether the project should more appropriately be funded by other sources.
- (7) The technical and project management capability of the applicant, as well as the past performance of the applicant, including the effectiveness of past projects, and the applicant's ability to comply with the funding conditions.

2.8 Avoidance of Conflict of Interests

To avoid conflict of interest, members of the Vetting Sub-committee and EPD staff who are directly or indirectly related to an application will be required to declare interest and refrain from taking part in the discussion of that application by leaving the venue where the deliberation takes place. This will apply to members who are part of the project team and/or members who belong to the same organisation.

2.9 Announcement of outcome

The applicant will be informed of the results within one month after the Vetting Sub-committee has endorsed or rejected the application. If no additional information is required, the applicant will be notified of the decision of the Vetting Sub-committee as soon as possible depending on the schedule of the Vetting Sub-committee meetings.

2.10 Can I withdraw my application?

The applicant organisation can write to the Waste Reduction and EcoPark Group of Environmental Protection Department to withdraw an application at any time before an agreement is signed between the Government and the applicant organisation.

2.11 Can I resubmit my application?

A declined application may be resubmitted only if it has been revised substantially or if it has been able to produce new evidence to address the comments made by the Waste Reduction and EcoPark Group of Environmental Protection Department in its earlier review before the vetting of projects by the Vetting Sub-committee. In completing the application form for a resubmitted application, the applicant should set out clearly the differences of the resubmitted application vis-à-vis the previous one. The revised application will be treated as a new application, and will be subject to the same assessment procedures.

3. COMPLETING THE APPLICATION FORM

3.1 General

- 3.1.1 All sections of the application form should be completed with supporting documents wherever required. Where the information sought is not applicable or not available, please fill in “NA”.
- 3.1.2 Please give clear and concise information. Additional pages may be attached to the form if such is necessary.
- 3.1.3 Acknowledgment will be sent to the applicant organisation after receipt of an application.

3.2 Sections in the Application Form

3.2.1 Name of Applicant Organisation

Give the name of applicant in Chinese and English. The applicant must be either one of the following organisations: incorporated owners’ committee, owners’ committee or any residents’ organisation of a private residential / C&I building; or a property management company making an application on behalf of the incorporated owners’ committee, owners’ committee or any residents’ organisations of a private residential / C&I building; or a public body / agency / institution or non-profit-making organisation or its associated facilities management office.

3.2.2 Name and Address of Estate/ Building

The name and address of estate / building shall be provided. If the application covers more than one building, separate sheet(s) can be attached to provide the relevant information of each building.

3.2.3 Number of Blocks, Floors and Households

If the application covers more than one building, the total number of blocks and floors of all buildings involved should be calculated and provided. For residential estate / building, the applicant should fill in the number of households whereas for C&I buildings, the applicant should enter “NA”.

3.2.4 Person-in-charge of the Project

For residential estate / building and private C&I buildings, a member of the residents’ organisation or manager of the property management company should be the person-in-charge of the project. For C&I buildings of institutional and community nature, an officer at manager

level in the related facilities management office should act as the person-in-charge.

If the application is submitted by a property management company on behalf of the residential building/estate or C&I building, the property management company has to seek the agreement or authorisation in writing from the incorporated owners' committee / owners' committee / residents' organisation. The relevant document should be attached to the application form.

3.2.5 Contact Person

The applicant should give the details of a contact person of the application. The contact person will be responsible for daily operation and management of the **Programme** and submission of monthly statistics to EPD on the quantity of recyclables collected from the source separation programme together with the quantity of waste disposed of for a consecutive period of at least 36 months.

3.2.6 Types of Waste Separation Facilities

The applicant should state which type(s) of waste separation facilities to be installed in the buildings. He/she should ensure the installation of waste separation facilities be technically feasible and comply with all relevant laws and regulations in Hong Kong. Brochures and specifications of the waste separation facilities should be submitted to facilitate the vetting.

3.2.7 Location of Waste Separation Facilities

The applicant should state which location(s) on each floor he/she plans to install the waste separation facilities. For residential building, funds will normally be granted to install waste separation facilities at the floor material recovery room/cleaner room/refuse room or staircase landing area on each floor.

For C&I building, waste separation facilities may not necessarily be installed on each floor. The applicant can select and specify which floors to place the facilities.

It would be helpful if the applicant can provide relevant floor plan(s) to illustrate the location(s) to place the proposed waste separation facilities.

3.2.8 No. of Floors Requiring Waste Separation Facilities

The applicant should fill in the total number of floors to be installed with waste separation facilities. The amount of approved budget will depend on the total number of floors of the buildings which will be installed with waste separation facilities in the individual application.

3.2.9 Expenditure on Waste Separation Facilities per Floor

The cost of the proposed waste separation facilities on each floor should be provided.

3.2.10 Detailed Breakdown of Budget

The applicant should give the name or description, unit cost, quantity and total cost of each item to be procured under the project. Each expenditure item should be reasonable, realistic and sufficiently broken down. The applicant is also required to use the lowest quotation among the quotations obtained.

For procurement of items, there is a requirement on the minimum number of written quotations to be obtained. The requirement is stated in **Section 4.4**.

3.2.11 Total Expenditure

Total expenditure will only cover expenditures on procurement, delivery or installation of waste separation facilities and equipment or tools to be used in the *Programme*. The applicant should absorb the recurrent operating and maintenance costs of the project as well as expenditure on promotion programmes and materials. The applicant who has been funded for this project would not be approved for another funding application of ECF's Environmental Education and Community Action Projects to organise promotion activities of the *Programme*. Nevertheless, the applicant can request EPD to offer some assistance such as publicity materials and organising exhibition, etc. on the *Programme* for his/her estate.

3.2.12 Total Grant Applied

The total grant applied for each project is limited to 50% of the total actual expenditure spent on the approved items. A limit of HK\$800 is set for waste separation facilities per building floor.

3.2.13 Declaration

The declaration should carry the signature of the Person-in-charge and the official stamp of the organisation.

3.2.14 Personal Data Collection Statement

Before signing the *Personal Data Collection Statement*, the applicant should read carefully and understand its content and **Conditions for the Uses and Allocation of Fund** (Part 4 of the Guide to Application).

3.3 Submission of Application

Each application should be made by submitting:

- i) completed application form;
- ii) personal data collection statement;
- iii) registration documents of the applicant organisation (e.g. registration document of incorporated owners, business registration certificate of the property management company, etc.);
- iv) written consent issued by the incorporated owners' committees or owners' committees;
- v) quotations of waste separation facilities to be acquired; and
- vi) specifications of waste separation facilities to be acquired.

Failure to provide sufficient information and supporting document will cause delay in processing of the application. All applications should be sent by mail to the following address:

Waste Reduction and EcoPark Group
Environmental Protection Department
2/F East Wing, 88 Victoria Road
Kennedy Town, Hong Kong.
(ECF Application – Programme on Source Separation of Waste)

4 CONDITIONS FOR THE USE AND ALLOCATION OF FUND

4.1 Contractual Requirements

For each project for which funds have been approved, the recipient organisation has to sign an agreement with the Government and comply with all the terms of the agreement.

4.2 Use of Funds

4.2.1 The allocated funds shall not be used as payment to individual members of the public as a financial reward for their participation in the activities associated with the project.

4.2.2 The benefits must accrue to the local community as a whole, and not just an individual, a single private organisation or a consortium of private companies.

4.3 Disbursement Funds and Budget Control

4.3.1 Full funding disbursement of the approved cost by the Vetting Sub-committee or 50% of the actual expenditure, whichever is the less, will be reimbursed to the applicants after EPD has received the invoices, checked and confirmed the completion of installation of waste separation facilities.

4.3.2 The total amount to be reimbursed for the project will not exceed the approved budget.

4.3.3 The amount to be reimbursed for individual item of the budget will not exceed the approved amount for that item. Prior approval must be obtained from the EPD should there be any changes in the approved amount.

4.3.4 Any item not on the approved list of budget items will not be reimbursed. Prior approval must be obtained from the EPD should there be any changes in the approved items.

4.3.5 Income derived from sale of recyclables in the project is not required to be ploughed back into the project account. Estates / buildings may use the income to offset the capital cost or other expenses of the projects.

4.3.6 Auditing will not be required, but the Vetting Sub-committee Secretariat and EPD reserve the right to check all financial records kept by the recipient organisations relating to the use of the grant.

4.4 Procurement of Equipment and Facilities

Written quotations are required to be sought for purchase of goods and services. For purchase of goods and services of value below \$5,000, written quotation(s) from at least one supplier should be obtained; for purchase of goods and services of value at \$5,000 or above but not exceeding \$10,000, written quotations from at least two suppliers should be obtained; for purchase of goods and services of value at \$10,000 or above, written quotations from at least three suppliers are required. The lowest bid should be normally selected unless prior agreement from the Vetting Sub-committee is obtained.

4.5 Title of Equipment and Capital Items

The applicants shall have full ownership of the equipment and capital items. They shall use the equipment and facilities continuously to sustain the residents' action in waste separation and recovery and will be responsible for the use, maintenance, repair and ultimate disposal of the waste separation equipment and facilities. However, the recipient organisation is required to seek EPD's agreement on the method of disposal of the waste separation equipment and facilities during the 36-month project period.

4.6 Use of Project Results

The recipient organisation is required to grant unconditionally and irrevocably to the Government the right to publish results, findings and any other information provided in the application form, other publications or publicity material.

4.7. Notification of Completion and Return of Monthly Statistics

The recipient organisation is required to submit a notification to EPD after installation of the waste separation facilities has been completed. The recipient organisation also has to return monthly statistics to EPD on the quantity of recyclables collected from the *Programme* together with the quantity of waste disposed of for a consecutive period of at least 36 months. EPD will carry out visits or surprise checks to examine the progress and achievements of the project.

4.8 Acknowledgement of Support and Disclaimer

4.8.1 The source of funding (both the name and logo of the ECF) must be acknowledged in all publicity materials relating to the project.

4.8.2 The logo of ECF may be used and printed onto the waste separation facilities, equipment, tools or various categories of publicity materials with a view to promulgating the contribution of the funds. Examples of publicity materials include publicity leaflets/posters/banners; reports and publications of project outcome; and advertisements on paper and electronic media.

4.8.3 Use of the name and logo of ECF for other purposes is subject to the prior approval of ECF Committee.

4.8.4 In no circumstances shall the name and logo of ECF be used for publicity for commercial interest or other purposes which may damage the image and/or cause any liability to ECF.

4.9 Suspension/Termination of Funding Support

4.9.1 The Vetting Sub-committee may suspend/terminate support for a project under the following circumstances -

- (a) if the project does not commence within six months of the approval of the grant and no reasonable explanation has been given;
- (b) Environmental Protection Department considers that the project has not progressed satisfactorily and no reasonable explanation has been given;
- (c) the person-in-charge leaves the recipient organisation prior to the completion of procurement procedures and installation of the separation facilities and there is no one available who has been involved in the project and considered suitable by the Vetting Sub-committee and/or EPD to take over the role of team leader; or
- (d) if the recipient organisation fails to comply with the funding conditions as set out in this Guide and/or in the agreement and no reasonable explanation has been given.

4.9.2 In each of the above cases of suspension/termination, the Vetting Sub-committee shall give one month notice to the recipient organisation, stating the reasons for the suspension/termination. In cases of suspension, the recipient organisation should demonstrate that measures have been taken to rectify the problems and change the unsatisfactory situation before the Vetting Sub-committee will lift the suspension. In cases of termination, the balance of the grant or any funding given in advance shall be returned to the ECF. The Vetting Sub-committee and/or EPD will consider possible redeployment of the equipment acquired for the project.

4.9.3 Any suspension or termination of a project will affect the organisation's future chance of getting financial support from ECF, and the organisation's management will be informed.

- 4.9.4 The ECF shall be entitled to be refunded by an applicant organisation of some or all of a grant which was used other than in accordance with the terms of the approved project.
- 4.9.5 Any major changes to the project must be approved by the Vetting Sub-committee/EPD. Such major changes include:-
- (a) revision to the budget ;
 - (b) change of waste recovery mode;
 - (c) change of objectives/contents/ budget of projects;
 - (d) change of person-in-charge;
 - (e) transfer of project to another organisation; or
 - (f) deferral of completion reports/monthly statistics submission date.
- 4.9.6 The Vetting Sub-committee may suspend/terminate funding support for a project if the project is being carried out under any of the above circumstances without prior approval.
- 4.9.7 Any proposed minor changes to a project should be submitted to the EPD for approval.

4.10 Ethical Practices

- 4.10.1 The recipient organisations are required to adopt a policy of openness and fairness in staff recruitment and procurement (including disposals of valuables e.g. recyclables) in running ECF-funded projects.
- 4.10.2 The recipient organisations should prohibit their staff from soliciting or accepting any advantages and require them to declare any conflict of interest in connection with the ECF funded projects. All records of declaration of interest relating to projects funded by ECF should be properly documented and submitted for inspection by EPD.

4.11 Others

- 4.11.1 The Government, ECF Committee, and their sub-committees and secretariats, shall bear no responsibility, financial or otherwise, for expenditure or other liabilities arising from the projects.
- 4.11.2 The Secretary for the Environment may at any time, if he/she considers fit, amend or add to the above conditions, without prior notice to recipient organisations.

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