GUIDE TO APPLICATION

ENVIRONMENT AND CONSERVATION FUND

PUBLIC EDUCATION PROGRAMME UNDER THE "POLICY FRAMEWORK FOR THE MANAGEMENT OF MUNICIPAL SOLID WASTE (2005-2014)"

Please send your application to -

Waste Management Policy Division Environmental Protection Department 46/F, Revenue Tower, 5 Gloucester Road Wanchai, Hong Kong (Public Education Programme)

For enquiries, please contact: Environmental Protection Department 46/F Revenue Tower, 5 Gloucester Road, Wanchai, Hong Kong Tel: 2594 6559 and Fax: 2824 2335 Email: peppf@epd.gov.hk

March 2007

1. INTRODUCTION

EPD published "A Policy Framework for the Management of Municipal Solid Waste (2005-2014)" ("Policy Framework") in December 2005. The Policy Framework sets out a comprehensive strategy consisting of a series of tried and proven policy tools and measures to tackle our waste problem head on. Sustained education programme is indispensable in the overall waste management strategy to induce behavioural change and gain public support for the policy tools and measures. To assist the introduction and implementation of the policy initiatives proposed in the Policy Framework, the Environment and Conservation Fund (ECF) Committee has approved an allocation of \$10 million to support the local non-profit making organizations to organize long-term and community-wide public education activities which are in line with the target policy initiatives set out by the Government in accordance with the Policy Framework.

1.1 Purpose of this Guide

This Guide provides guidance on application for funding under the *Public Education Programme (PE Programme) under the "Policy Framework for the Management of Municipal Solid Waste (2005-2014)"* and describes the basic requirements and responsibilities for recipient organizations. Upon approval of funds by the ECF Committee¹, recipient organizations 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 Programme

The objective of the PE Programme is to promote the policy initiatives set out in the Policy Framework in accordance with the proposed timetable. The Government will identify the target policy initiatives/themes at least once a year and openly invite proposals.

1.3 Administration

Administration of grants for the PE Programme is undertaken by the Waste Management Policy Division of EPD.

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, Transport and Works on the use of funds. Under the Ordinance, the Secretary is the trustee responsible for the administration of the Fund.

2. GUIDE TO APPLICATION

2.1 Who may apply?

Local non-profit making organizations (e.g. green groups, community bodies, schools) are eligible to apply.

2.2 What are the funding limits?

Normally, grants for each project will not exceed HK\$500,000. Funds may be granted for full or partial support of projects.

2.3 What is the duration of each project?

Each project under the PE programme should last for at least 12 months and not more than 24 months.

2.4 How to apply?

Applicants have to fill out an application form attached to this Guide, which can be obtained from -

Environmental Protection Department 33/F Revenue Tower, 5 Gloucester Road, Wanchai, Hong Kong Tel: 2824 3773 Fax: 2838 2155 Email: enquiry@epd.gov.hk

Softcopy of this Guide can also be downloaded from http://www.epd.gov.hk/epd/english/boards/ecfc/appl_for_ecf.html

Completed Application Form should be returned to the Waste Management Policy Division, Environmental Protection Department (at 46/F, Revenue Tower, 5 Gloucester Road, Wanchai) before the deadline announced by the Government.

For enquiries, please write to us at 46/F Revenue Tower, 5 Gloucester Road, Wan Chai, Hong Kong. You can also contact us at 2594 6559 (Tel), 2824 2335 (Fax) or peppf@epd.gov.hk.

2.5 What are the vetting procedures?

All applications received will first be vetted by EPD, in consultation with other relevant government departments and the Advisory Council on the Environment (ACE) or its Waste Management Subcommittee where appropriate. The recommendations will then be submitted to the ECF Committee for endorsement. Information of the approved projects will be uploaded onto the websites of the ECF Committee.

2.6 What are the vetting criteria?

The following broad criteria are used in assessing the merits of individual applications-

- (1) Projects must fit with the target policy initiatives/themes announced by the Government.
- (2) The benefits must accrue to the community as a whole, and not just to individuals, a single private organization or a consortium of private companies.
- (3) Projects must be non-profit making in nature.
- (4) In considering a project proposal, due consideration will be given to
 - (a) the benefits that it will bring to the efforts in promoting the target policy initiatives/themes;
 - (b) whether the programmes of the project proposal can bring about positive impacts in the longer run;
 - (c) 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;
 - (d) whether the proposed programme's schedule of implementation is well-planned and practicable, and the duration is reasonable;
 - (e) whether the proposed budget is reasonable, realistic and cost-effective, with full justification for every expenditure item;
 - (f) whether the proposed programme has alternative sources of funding support, and whether it would be more appropriate for the proposed programme to be funded by other sources; and
 - (g) if recurrent expenditure is incurred, whether the proposed programme has potential to become self-sufficient after a certain period of time.

2.7 Avoidance of Conflict of Interests

To avoid conflict of interest, members of the Advisory Council on the Environment (or its Waste Management Subcommittee) and the ECF Committee 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 organization.

2.8 Any deadline for receiving my application?

Project proposal with detailed budget should be submitted to Waste Management Policy Division of EPD. The Government will openly invite applications when it considers appropriate in accordance with the Policy Framework.

2.9 When will I know the results?

Applicant organizations will be informed of the outcome within six months after the closing of the application period.

2.10 Can I withdraw my application?

The applicant organization can write to EPD to withdraw an application at any time before an agreement is signed with the Government.

3. PROJECT PROPOSAL

The applicant organization should submit a project proposal covering the details of the programme.

3.1 **Project Title**

A project title, in both English and Chinese, has to be provided for each application.

3.2 Duration of Project

This section should give the commencement and completion date and duration of project.

3.3 Nature and Purpose of Project

In clear and specific terms, state how the project will promote the target policy initiative/themes of the Policy Framework, enhance public awareness of the environment, promote understanding of ways to improve and protect it, or mobilise the community to take action.

3.4 Name of Recipient Organization

Give the name of recipient organization in Chinese and English. You must be a local non-profit making organization or a group formed under a registered non-profit making organization in Hong Kong.

3.5 Role of the Recipient Organization

State the role the recipient organization will play in organizing and implementing the project. Projects in which the recipient organization does not make a major contribution will not be eligible for funding support.

3.6 Details of other co-organizing/assisting/supporting/sponsoring bodies for the proposed project

Give details of other co-organizing/assisting/supporting/sponsoring bodies.

3.7 Project Details

State the following –

- (a) the target group;
- (b) the anticipated number of participants of each activity; and
- (c) record of applicant in implementing similar projects.

3.8 Method of implementation of project

State clearly the implementation method to be employed and show how this could help achieve the purpose of the project. Please provide the following information in particular –

- (a) Methods in selecting participants and promoting the activities;
- (b) Date, time, venue, content of activities and expected number of participants; and (Note: Activities of project proposal which start before the approval of the ECF is given shall not be supported.)
- (c) Publication and production of educational materials (if any): description and distribution of the materials.

3.9 The Workplan and Timetable

- (a) Workplan Give a detailed workplan describing the various activities that will be carried out under the project.
- (b) Timetable Give a timetable showing the length and sequence of the various activities in the project.

3.10 Expected benefits of the project

State the expected achievements of the project and expected benefits to the community.

3.11 First time applicant

For applicant organization which applies to the ECF for the first time, please provide the following information -

- (a) background information of the organization;
- (b) information about key members of the organization and the person-in-charge of the project;
- (c) experience in organizing environmental activities; and
- (d) documentary proof of the organization's non-profit making status.

4. BUDGET GUIDELINES

The application should be accompanied by a detailed budget for the programme. Each income and expenditure item should be reasonable, realistic and clearly broken down. All expenditure items must be incurred between the commencement and completion dates of the programme. For items which "will not normally be supported"/ "may only be supported with full justification"/ "only supported on a case-by-case basis", please provide detailed justifications in the form of an attachment to this application.

4.1 Manpower

- 4.1.1 The recipient organization is expected to have the ability to supervise and the expertise to undertake the proposed programme. Hence, no funding will be granted for employment of additional supervisory/ administrative staff, hire of professional advisors or training course for staff of the recipient organization for undertaking the project.
- 4.1.2 Funding for part-time project coordinators/assistants may be considered on a case-by-case basis, but the total amount for covering the cost of project coordinators/assistants should not exceed 50% of the total approved budget or the total actual expenditure, whichever the less.
- 4.1.3 Direct labour cost (for hiring of part-time workers) involved in conducting public education or related activities may only be supported with full justification. The actual amount to be granted will depend on the modus operandi of the programme.

4.2 Equipment and Capital Items

Funding for equipment/capital items may only be granted if the equipment/capital item is essential for implementation of the programme; and that the recipient organization will bear all subsequent recurrent costs, including maintenance costs, of the equipment/ capital items.

4.3 Other sponsorships

Applicants are encouraged to seek sponsorships from other sources to fund part of the programme applying for ECF. However, applicants should clearly indicate in their submission details (including the source, amount, and income to be generated) regarding sponsorships outside ECF. Applicants' intention to seek other sponsorships should be stated if details are not available when their applications are submitted.

4.4 Others

4.4.1 All essential elements of an application will be considered in an integral manner. For projects involving production of publication, the recipient organization should include details of publication arrangements in the application together with its budget for overall assessment.

- 4.4.2 All applications are considered on their individual merits. For programmes involving recurrent expenditures, the recipient organization has to demonstrate that such expenses will be of a specified finite duration or that the project will become self-financing after a certain period of time.
- 4.4.3 Funding for public education activities in connection with the project, hire of transport, light meals for unpaid voluntary workers and premium for public liability insurance will be allowed. The level of funding for such expenses is set out in **Appendix**.
- 4.4.4 Requests for funding for contingency items will be considered on a case-by-case basis.
- 4.4.5 For hire of package tour, 40% of the charge should be paid by the participants.
- 4.4.6 The following expenses will not be supported
 - General administrative cost
 - Rental payment and renovation fee
 - Form-based and school-based visits
 - Rental payment or purchase cost of materials already in the organization's stock, unless prior agreement from EPD is sought.
 - Funding for reprinting of existing leaflets or education materials will not be supported, unless they form an essential part of the programme
 - Overseas travel will not normally be supported. Overseas participants in a local function are normally expected to pay for their own traveling and living expenses
 - Payments to individuals as a reward for their participation in the activities organized under the programme will not be given. Subsidy for volunteer involvement in organizing the project may be considered
- 4.4.7 Funding support may be considered for the following expenses
 - Hire of transport
 - Traveling expenses for volunteers using public transport
 - Hire of temporary/casual workers
 - Hire and decoration of venue, hire of lighting and public address facilities

- Procurement of postage, stationery, etc.
- Printing work including publicity materials
- Purchase of light refreshments and light meals
- Purchase of souvenirs and gifts of a token nature
- Rental payment and maintenance of website
- Under exceptional circumstances, payment of reasonable fees to hire experienced and professional speakers/trainers
- Procurement of services such as processing of films and slides, production of design and artwork
- Premium for public liability insurance
- A modest amount for contest/participation prizes. Cash or cashable items must not be given
- Web design may be supported based on the merit of each case

5. CONDITIONS FOR THE USE AND ALLOCATION OF FUND

5.1 Contractual Requirements

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

5.2 Use of Funds

- 5.2.1 The allocated funds shall not be used as payments to individual members of the public as a financial reward for their participation in the activities associated with the project.
- 5.2.2 The benefits must accrue to the community as a whole, and not just an individual, a single private organization or a consortium of private companies.

5.3 Disbursement and Reimbursement of Funds

- 5.3.1 If the amount approved is HK\$150,000 or below, the applicant will receive between 25-50% of the grant upon approval depending on the nature of the project. The recipient organization may apply for a further payment if it proves that the previous payment has been fully spent and that further expenditure is required for undertaking the project as scheduled. For all projects, the last 10% of the approved grant will not normally be disbursed until after project completion subject to submission of a statement of accounts and a completion report endorsed by the EPD.
- 5.3.2 If the amount approved is in excess of HK\$150,000, disbursement will take into account the estimated cash flow of the project, but the last 10% will normally only be released upon completion of the project subject to submission of a statement of accounts and a completion report endorsed by the EPD. The EPD will agree with the recipient organization a schedule of payment.
- 5.3.3 All revenue received, irrespective of whether it has been declared in the proposal, must be defrayed against the actual expenditure before calculating the amount to be reimbursed as final payment.
- 5.3.4 Amount to be reimbursed for individual items of the budget will not exceed the approved amount for that item. However, the EPD may increase the approved amount of an individual item (except project co-ordinator) by up to 20% provided that the total amount to be paid will not exceed the approved total.
- 5.3.5 The grant could be reduced on a pro-rata basis in the following circumstances -

- the scope and/or activities of the project are changed
- the actual frequency of activities (e.g. seminars) is less than proposed
- the number of participants is less than proposed and the grant allocated is according to the number of participants
- the number of publications (e.g. leaflets) is less than that proposed
- the duration of project is reduced
- 5.3.6 Any items not on the approved list of budget items will not be reimbursed.
- 5.3.7 Income derived from the project during the project period, including sales of output, fees generated from activities and interest income generated from cash in hand for the project, should be ploughed back into the project account.
- 5.3.8 Any unspent balance of the grant shall be returned to the ECF within two months after the completion of the project.
- 5.3.9 Income derived from the project after the project period, including sales of output, should be returned to ECF for offsetting part or whole of the project's cost. Failure to report and return such income to ECF will render the organization ineligible for future funding support.

5.4 Project Interest

- 5.4.1 The ECF funds shall be paid into a risk-free interest-bearing account opened with a licensed bank.
- 5.4.2 Interest incomes generated from the ECF funds and other receipts for a project have to be reasonably apportioned to the project and no negative interest should be charged to the project. The use of interest is subject to the approval of the EPD in consultation with the ECF Committee, and in no circumstances should the interest earned be applied for other uses outside the project.
- 5.4.3 The recipient organization may be required to compensate the Government for loss of interest income if the ECF fund is not properly handled. Where necessary, the Government will initiate legal action for suitable remedies.

5.5 **Progress and Completion Reports**

- 5.5.1 Ongoing projects are monitored and completed projects are reviewed by the EPD. The recipient organization has to submit a progress report with information on the financial position of its project once every three months to EPD. Except for the first disbursement, all disbursements will be subject to satisfactory progress of the project. The recipient organizations are requested to conduct surveys with their participants in each sub-programme with a view to better assessing the effectiveness of the projects. EPD may carry out visits or surprise checks to examine the progress and achievements of the project.
- 5.5.2 Within two months of completion of the project or before the date specified in the agreement, project teams have to submit a completion report and statement of accounts to EPD for all projects. If an extension of the submission deadline is required, approval should be obtained from EPD. EPD will assess the success or effectiveness of the project by comparing the project results against its original objectives and targets as set out in the project proposal.
- 5.5.3 Progress reports should be signed off by the person-in-charge of the project and completion reports should be signed off by the Head of the recipient organization. All progress reports and completion reports should be submitted in such format as prescribed in the Progress/Completion Report Form.
- 5.5.4 Unsatisfactory performance will affect the organization's future chance of getting funding support, and the organization's management will be informed.

5.6 Statement of accounts

- 5.6.1 Within two months of completion of the project or before the date specified in the agreement, project teams have to submit a complete statement of accounts, attached to the completion report, to EPD for all projects. If an extension of the submission deadline is required, approval should be obtained from EPD.
- 5.6.2 For projects receiving a grant under HK\$150,000, the grant received must be shown in a complete statement of accounts, together with the original copy of invoices and receipts. Auditing will not be required, but EPD, as appropriate, reserves the right to check all financial records kept by the recipient organization relating to the use of the grant.
- 5.6.3 For projects receiving a grant of HK\$150,000 or more, the statement of accounts attached to the completion report must be an audited statement of account prepared by an auditing firm, providing assurance that the audited accounts properly presented the financial position and that the conditions of grants are met.

5.6.4 For projects lasting more than 18 months and costing more than HK\$150,000, project teams have to submit audited statement of accounts to EPD once every 12 months and within 2 months of completion of the project.

5.7 Intellectual Property Rights Arising from Projects and the Use of Project Results

- 5.7.1 Unless negotiated otherwise between EPD and the recipient organization, the recipient organization will solely own all intellectual property rights arising from the project.
- 5.7.2 The recipient organization is required to grant unconditionally and irrevocably to the Government the right to publish results, findings and any other information provided in the application, progress report(s), completion report and other publications or publicity materials.

5.8 Publicity of Project Events and Results

- 5.8.1 Project teams should try to publicize the project results or any events related to the project through publications, seminars, workshops, conferences and exhibitions etc. Project teams should also provide information about the events such that EPD might conduct spot checks on the proposed activities.
- 5.8.2 Project teams should notify EPD of the project results before publicizing them. Copies of publications or publicity materials produced under the project must be made available to EPD within one month after the completion of the project.
- 5.8.3 Project findings may be uploaded on the websites of EPD for public access.

5.9 Acknowledgement of Support and Disclaimer

- 5.9.1 The source of funding (both the name and logo of the ECF) must be acknowledged in all publicity materials relating to the project.
- 5.9.2 The logo of ECF may be used and printed onto the following 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.
- 5.9.3 Use of the name and logo for other purposes is subject to the prior approval of EPD in consultation with the ECF Committee.

5.9.4 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.

5.10 Procurement of Equipment/Capital Items/ Goods and Services

- 5.10.1 The recipient organization should exercise utmost prudence in procuring equipment, goods or services for the project and must adhere to the following procedures unless EPD agrees otherwise
 - for every procurement the aggregate value of which is \$5,000 or below, quotations from suppliers are not required for most items unless specified in the **Appendix**.
 - for every procurement the aggregate value of which is more than HK\$5,000 but less than HK\$10,000, quotations from at least two suppliers should be obtained. The recipient organization should select the supplier that has submitted the lowest bid. If the lowest bid is not selected, full justifications must be given and prior agreement must be obtained from EPD.
 - for every procurement the aggregate value of which is HK\$10,000 or more, but less than HK\$500,000, quotations from at least three suppliers should be obtained. The recipient organization should select the supplier that has submitted the lowest bid. If the lowest bid is not selected, full justifications must be given and prior agreement must be obtained from EPD.
- 5.10.2 In the case of universities, they may adhere to their established/ current standard procurement procedures.
- 5.10.3 In case the recipient organization intends to procure equipment or capital items from one company/ organization/ individual, it has to provide details, justifications and its relationship with the company/ organization/ individual in the application form for not following the open procurement process in paragraph 5.10.1 above. If the application is approved, subsequent approval from EPD will not be required.
- 5.10.4 All quotations and tendering documents should be kept for inspection by EPD.

5.11 Title of Equipment/Capital Items

The title of equipment/capital items will remain with the Government. The recipient organization should surrender to EPD the equipment/ capital items upon completion of the project.

5.12 Suspension/Termination of Funding Support

- 5.12.1 EPD 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) EPD considers that the project has not progressed satisfactorily and no reasonable explanation has been given;
 - (c) the team leader leaves the recipient organization prior to the completion of the project and there is no one available who has been involved in the project and considered suitable by EPD to take over the role of team leader; or
 - (d) if the recipient organization fails to comply with the funding conditions as set out in this Guide and/or the approval letter/ and/or in the agreement and no reasonable explanation has been given.
- 5.12.2 In each of the above cases of suspension/termination, EPD shall give one month notice to the recipient organization, stating the reasons for the suspension/termination. In cases of suspension, the recipient organization should demonstrate that measures have been taken to rectify the problems and change the unsatisfactory situation before EPD 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. EPD will, in consultation with the ECF Committee, consider possible redeployment of the equipment acquired for the project.
- 5.12.3 Any suspension or termination of a project will affect the organization's future chance of getting financial support from ECF, and the organization's management will be informed.
- 5.12.4 The ECF shall be entitled to be refunded by the recipient organization of part or all of a grant which was used other than in accordance with the terms of the approved project.
- 5.12.5 Any major changes to the project must be approved by EPD in consultation with the ECF Committee. Such major changes include -
 - (a) revision to the objectives and/or content;
 - (b) change of team leader/principal investigator;
 - (c) transfer of project to another organization; or
 - (d) deferral of progress/completion reports/statement of accounts submission date.
- 5.12.6 EPD may suspend/terminate funding granted to the project if the project is being carried out under any of the above circumstances without prior approval.

5.12.7 Any proposed minor changes to a project should be submitted to EPD for approval.

5.13 Others

- 5.13.1 The Government and ECF Committee shall bare no responsibility, financial or otherwise, for expenditure or other liabilities arising from the projects.
- 5.13.2 The Secretary for the Environment, Transport and Works may at any time, if she considers fit, amend or add to the above conditions, without prior notice to recipient organizations.

Appendix

Environment and Conservation Fund

Public Education Programme under the "Policy Framework for the Management of Municipal Solid Waste (2005-2014)"

Level of Funding Support for Expenses

Items	Level of Funding Support
1. Publicity – including items such as banners, posters, leaflets, postage, etc.	• The ceiling is capped at 40% of the approved total budget.
2. Opening / Closing Ceremony – including invitation cards, souvenirs for officiating guests, set up and decoration, backdrop, rental payment of venue, PA system, etc.	• The ceiling is capped at 20% of the approved total budget.
3. Venue Setup – including rental payment (for all activities other than opening/closing ceremony), set up and decoration, backdrop, rental payment of venue, PA system, etc.	 The ceiling is capped at 30% of the approved total budget. Quotations must be provided. For use of in-house equipment/facilities of the applicant organization, prior agreement of the EPD must be secured and the expenditure for rental is set at 20% of the current market price.
4. Booths – including rental payments, decoration and prizes for game booths	• The funding support for each booth is capped at \$600.
5. Prizes for Competition	• Maximum \$800 per set of trophies and book coupons.
6. Hire of Speakers/Instructors	 Maximum \$500 for a speaker for each function. The funding support may be adjusted upwards on the merit of each case.
7. Insurance for Third Party Liabilities	 Funding support will be based on the basic requirements. Quotation must be provided.
8. Transportation – including hire of coach, hire of van/lorry for transportation of materials and hire of launch	 Maximum \$1,500 per coach. The amount of funding support is based on the actual expenditure with the proof of receipts. Quotations must be provided. For hire of launch, 40% of the charge should be paid by the participants.

Items	Level of Funding Support
9. Admission Fee	• Participants are required to pay 40% of the admission fee.
10. Souvenir (for officiating guests and judges only for function other than ceremony)	Maximum unit price: \$50.
11. Production of Exhibition Panel	 Maximum: \$1,500 per function. Applicant is encouraged to borrow exhibition panels from Environmental Protection Department (Hotline: 25946543).
12. General Expenses – including stationery, films and film development, video tapes and etc.	• The ceiling of funding support is capped at 10% of the approved total budget.
13. Travel Allowance for Staff and Volunteers	\$15 per journey.Maximum: \$1,000.
14. Meal Allowance (for volunteers only)	 For half-day activities – maximum: \$34/ day. For full-day activities – maximum \$48 per day.
15. Project Coordinator	• The ceiling of expenditure is capped at 50% of the total budget or actual expenditure for the project, whichever the less.
16. Direct labour cost (for hiring of part-time workers) involved in conducting community education or related activities	• HK\$35 per hour for each labour
17. Package Tour	 For hire of package tour, 40% of the charge should be paid by the participants.

Remarks:

The level of funding support may be adjusted by EPD as and when necessary. For the latest version, please refer to the Internet homepage of -

Environment and Conservation Fund Committee

 $\underline{http://www.epd.gov.hk/epd/english/boards/ecfc/appl_for_ecf.html}$