



# Waste Less, Recycle More Initiative Recycling Innovation Fund

Innovation in Priority Problem Wastes Management  
Grants Program - Round 2  
Application Guidelines: Streams 1 and 2

Closing date: 5pm Monday 27 June 2016

Every effort has been made to ensure that the information in this document is accurate at the time of publication. However, as appropriate, readers should obtain independent advice before making any decision based on this information.

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### About the NSW Environmental Trust

The NSW Environmental Trust (the Trust) is an independent statutory body established by the New South Wales Government to fund a broad range of organisations to undertake projects that enhance the environment of NSW. The Trust is empowered under the Environmental Trust Act 1998, and its main responsibility is to make and supervise the expenditure of grants. The Trust is administered by the Office of Environment and Heritage (OEH).

### About the NSW Environment Protection Authority

The NSW Environment Protection Authority (EPA) is an independent statutory authority and the principle environmental regulator in NSW. It leads the state's response to managing a diverse range of activities that can impact on the health of the NSW environment and its people, using a mix of tools including education, partnerships, licensing and approvals, audit, enforcement and economic mechanisms. The EPA is empowered under the Protection of the Environment Administration Act 1991 (POEA Act).

### About the Waste Less, Recycle More Initiative

In February 2013, the NSW Government announced the five-year \$465.7 million Waste Less, Recycle More initiative in response to the findings of the independent review of the waste levy.

The NSW EPA is responsible for delivery of programs under this initiative along with the overall outcomes. The Trust is responsible for the delivery of the contestable grant programs. A key focus of this initiative is to assist communities, business and industry across the NSW economy to reduce waste, increase recycling and meet recycling targets in NSW 2021: A Plan to Make NSW Number One.

The initiative is made up of:

- \$250 million Waste and Recycling Infrastructure Package, consisting of:
  - \$70 million Organics Infrastructure Fund
  - \$70 million Community Recycling Centre Fund
  - \$60 million Waste and Recycling Infrastructure Fund
  - \$35 million Business Recycling Fund
  - **\$15 million Recycling Innovation Fund**
- \$137.7 million Supporting Local Communities Fund, including:
  - \$38.7 million Waste and Sustainability Improvement Payment Transition Fund
  - \$70 million Local Government Waste and Resource Recovery Fund
  - \$13 million Voluntary Regional Local Government Fund
  - \$9 million Regional Waste Avoidance and Resource Recovery Strategy Fund
  - \$7 million Regional Landfill Consolidation Fund
- \$58 million Illegal Dumping Fund
- \$20 million Litter Fund

## About the Innovation in Priority Problem Wastes Management grants program

### Objective

The objective of this program is to increase the recovery of priority problem wastes in NSW.

### Aim

As part of the Recycling Innovation Fund, the Innovation in Priority Problem Wastes Management grants program is aimed at funding innovative projects that will provide new recycling infrastructure solutions, establish (or expand) recycled material markets through research and development, and improve and introduce new approaches and technologies to increase the efficiency of recycling facilities for priority problem wastes.

Wastes targeted as priorities under both streams of the program are 'problematic' materials that do not have existing mature markets or are contaminating waste streams that could otherwise be recovered.

The priority problem wastes which are the focus for Round 2 of the program include:

- plastic film and other plastics
- copper Chrome Arsenic (CCA) timber and other treated timbers
- tyres and rubber
- nappies and incontinence pads
- electronic waste (e-waste)
- shredder floc

Strong and compelling proposals for other problem wastes will still be considered. These other wastes could include:

- materials that lack established recycled material markets in NSW
- residue wastes generated from recycling processes
- contaminants that if removed could increase the recovery of a waste stream
- high toxicity, low volume waste types that pose significant risk of harm to the environment and human health

The program is comprised of two streams of grant funding:

Stream 1	A program to support innovative infrastructure projects that demonstrate new and emerging technologies. Preference will be given to projects that have reached a stage of early commercialisation.
Stream 2	A program targeted at establishing recycled material markets for the priority problem wastes through research and development. The focus for funding will be on partnerships between industry, tertiary/research institutes and commercial partners. Projects may include: <ul style="list-style-type: none"><li>• Design and development of new products using recycled materials with a commercial application.</li><li>• Development of new markets for existing products through field trials with customer, product testing, development for specifications etc.</li></ul>

### Funding for round 2

Stream 1	\$100,000 and \$1 million:	Covering up to 50 per cent of the capital costs of the project (up to 1:1 matched funding).
Stream 2	\$20,000 and \$200,000	Covering up to 50 per cent of the costs of the project (up to 1:1 matched funding).

Please note that the NSW Environmental Trust has determined that funding from the Innovation in Priority Problem Wastes Management grants program shall be distributed as follows, approximately:

- 80 per cent of total funding is to be allocated to levy-paying areas of the state; and
- 20 per cent of total funding is to be allocated to non-levy paying areas of the state

### Can you apply?

This program is seeking commercially orientated projects targeted at delivering new and innovative recycling technologies (Stream 1) or undertaking innovative research and development to bring technologies and ideas to commercial viability (Stream 2).

The application must be submitted by an employee of the organisation applying for the grant and this person must be the primary contact whose details are shown in the application. The primary contact must be available to respond to questions and requests for information from the Trust or the EPA during the application assessment process and, if the application is successful, for the duration of the project.

Preference will be given to projects that involve partnerships between industry and tertiary/research organisations and incorporate research, development and investment in technology or infrastructure with demonstrated commercial application. All applicants must be legally constituted entities and be organisations not individuals or sole traders.

### Option to transfer to another grants program

The first stage of the assessment process includes a preliminary review of the applications by Trust officers to determine the following:

- Is the application sufficiently complete to assess?
- Are the project and applicant eligible?

Any proposals that are considered incomplete and/or ineligible will not progress past the first stage of the process.

The second stage of the process involves an assessment of the level of innovation of the proposals by the EPA (with the assistance of an External Technical Advisor, if required) to determine if:

- The proposal will implement new or novel technologies, processes or practices not currently used for a specific application in Australia, NSW and/or the waste & recycling industry.
- The proposal features new designs of existing technologies, processes or practices currently in use that can demonstrate a high degree of customisation or modification to suit a new or novel application.

If the EPA considers that the above conditions have not been met by the proposal and/or the level of innovation is not sufficient to achieve the expected outcomes of this program, the Trust reserves the right to redirect the application to Round 3 of the Resource Recovery Facility Expansion and Enhancement Grants Program (RRFEE) which will be running as a concurrent funding round. This will only happen if the application meets the objectives and assessment criteria of the RRFEE and is considered by the EPA to have merit. The reason for introducing this option is that the chances of success are increased due to the larger pool of funds available under the RRFEE.

Clarification may be sought from applicants at both the above stages of the assessment process regarding aspects of their application and details of all contact with applicants will be recorded.

The Trust reserves the right, at its sole and absolute discretion and at any time, to change the eligibility and selection criteria for the Innovation in Priority Problem Wastes Management grants program.

### Compliance with NSW environment protection laws

Please note that the Trust, with support from the EPA, will consider the compliance history of applicants, project partners and related companies under NSW environment protection laws, including penalty notices, clean up notices, prevention notices, licence suspensions, licence revocations, convictions or prosecutions under the *National Parks and Wildlife Act 1974*, *Protection of the Environment Operations Act 1997*, *Protection of the Environment Operations (Waste) Regulation 2014* and the *Native Vegetation Act 2003*.

In addition, applicants are ineligible for a grant if, on or after 1 November 2014, they, project partners or related companies (collectively, 'relevant parties') or any directors or managers of the applicants (whether as directors or managers of the relevant parties or otherwise in their personal capacity or including where they have been directors or managers of other companies), have contravened any provision of the 'POEO Act' with the result of avoiding, minimising or undermining the requirement to pay any waste contributions required under section 88 of the POEO Act.

For the purposes of this matter, the relevant provisions of the POEO Act are sections 48, 64, 88, 115, 120, 142A, 143, 144, 144AA, s144AB or 211 of the POEO Act or Part 2, Part 3 or clause 71 of the *Protection of the Environment Operations (Waste) Regulation 2014* in relation to any waste activities where a consequence of the contravention has the result of the avoidance, minimisation or undermining of the waste contribution. This also includes a contravention of any clause of a resource recovery exemption.

These matters can be taken into account whether or not any regulatory action has taken place in relation to those contraventions, including whether or not court proceedings have been commenced or an offence has been proven in court proceedings.

## Performance with previous Waste Less, Recycle More grant funding

Please note that the Trust will take into consideration the previous performance of an applicant and any project partners who have received funding under *Waste Less, Recycle More* programs.

## What is a project partner?

A project partner is any organisation or individual, other than the applicant and its employees/contractors, involved in carrying out the Project, including:

- Investors
- Research collaborators
- Anyone involved in joint delivery of the project.

It does not include an organisation or individual which *only* leases or provides land to the applicant or project partners, and has no other role in the project.

All project partners must be listed in the application.

## What will be funded?

### Stream 1

Funding will be available under Stream 1 to cover up to 50 per cent of the cost of infrastructure components:

- plant
- equipment
- processing technologies

Applicants that are willing to contribute more than 50 per cent will be favourably considered in the grant assessment process. Other contributions to the project for ineligible items must be included in the budget showing total project cost. Projects leveraging significant additional expenditure will likewise be favourably considered.

All infrastructure upgrades and establishment (stream 1) will be expected to meet best practice for energy and water efficiency, sustainable materials, water sensitive urban design and site biodiversity (landscaping).

### Stream 2

Funding under Stream 2 will cover up to 50 per cent of the cost of research and development. The type of activities listed below may be eligible for funding where they demonstrate a commercial application:

- product design and development
- laboratory trials
- development of prototypes
- field trials
- trials or pilots for collection systems

## Research integrity

The Trust is committed to fostering the highest ethical standards in research. Projects approved for funding by the Trust may not begin without appropriate ethical clearances from the relevant committees and/or authorities. Applicants will be required to outline any ethics clearances required and how they will be obtained prior to project commencement.

Ineligible Projects

## Your organisation is ineligible to apply if:

- your organisation, a project partner or related company transport or arrange transport of waste generated in NSW for recycling or disposal out of NSW (at any time from the date you apply for a grant and prior to completion of the project); and
- there was, at the time of transport, a lawful recycling or disposal facility for that waste within NSW

Organisations that generate waste near the border to any other Australian State or Territory may, however, apply for an exemption from this provision if they can demonstrate compelling circumstances as to why waste has been sent out of NSW.

## Projects in Stream 1 or Stream 2 will also be ineligible for funding where:

- The focus is increasing recovery of waste streams rather than specifically targeting the reduction of a Priority Problem Waste. (Note: infrastructure of this type may be more suited to the Resource Recovery Facility Expansion and Enhancement grants or the Bin Trim Rebate programs).
- The project is unlikely to lead to recycling of additional material or reduce the amount of recycling residuals or material going to landfill.
- The project has already been funded under other Waste Less, Recycle More programs.
- The application does not demonstrate that the project will comply with the NSW Energy from Waste Policy Statement (if there is a relevant energy from waste component to the project). Please note that prior to receiving any funding for your proposal you will be required to complete and comply with all applicable requirements and provide all required information in the document entitled [Energy from Waste Compliance Table](#) which can be downloaded from the Trust's webpage.
- Projects that fund devolved grants (i.e. projects offering grants to other organisations).
- The project has already commenced (although a new distinct stage of a project will be eligible).

### For Stream 1, a project will also be ineligible for funding where:

- The activity does not involve first of its kind waste and recycling infrastructure in NSW (including infrastructure that is planned or underway).
- Contracts to construct infrastructure or buy/lease equipment have already been entered into and construction/installation has commenced before the opening of the funding round.

### For Stream 2, a project will also be ineligible for funding where the:

- applicant fails to demonstrate that the research and/or development is original
- applicant fails to demonstrate that a significant component of the project will be conducted in NSW
- project only involves literature reviews
- project only involves market research and/or development

## Ineligible items

The following will not be funded in either **Stream 1** or **Stream 2**:

- Land acquisition
- Project management costs
- Market development costs
- Market scans
- Advertising and education
- Feasibility/planning studies or consultant fees
- Ongoing operational costs such as insurances, rent etc.
- Salaries of existing employees supervising or working on the project as part of their usual duties. (however the Trust will fund salaries of staff employed specifically to work on the project or to backfill existing positions to relieve staff to work on this project)
- Retrospective funding for work undertaken or items already purchased/ordered before the funding round opened
- Any plant or equipment that has been owned by any associated entity
- Ongoing maintenance or elements of projects to which organisations have committed as part of a previous grant

- Projects that fund devolved grants (i.e. projects offering grants to other organisations)
- Any costs associated with the application or gaining of funding.

In addition, **Stream 1** will not fund research and development.

### Applicant's co-contribution

The Applicant's co-contribution in either **Stream 1** or **Stream 2** cannot cover ineligible items. The Applicant's co-contribution must be in cash and able to be attributed to payment of specific invoices covering at least 50 per cent of the eligible costs and at least equal to the grant amount spent.

### Funding from multiple sources

In order for us to make fair decisions about allocating grants, setting funding priorities and avoiding duplication with other government agencies, you are required to advise us if you:

- have secured funding from another government agency or other sources for the same or related activities to those funded by the Trust
- have current applications lodged with other government agencies or other funders
- receive funding from other government agencies or other sources whilst your project is underway

The Trust will inform you how it will progress your application if these circumstances arise.

The Trust encourages applicants to develop projects which include partnerships, collaboration, other funding sources and in-kind contributions. These all tend to improve outcomes of projects and will make your application more competitive.

### Financial analysis

All Stream 1 projects must complete a financial analysis using the template provided. In the financial analysis applicants need to:

- include all projects costs, including capital, operating, maintenance, provision for contingencies and tax
- include all income streams e.g. gate fees, sale of recovered materials and grants
- confirm that the project is financially viable

### Cost benefit analysis

For further guidance on conducting a cost benefit analysis, applicants should refer to NSW Treasury's NSW Government [Guidelines for Economic Appraisal](#)

Applicants in Stream 1 for projects valued over \$1 million will need to undertake a detailed cost benefit analysis of their project to ensure that approved projects will provide value for money, deliver public benefits and will deliver significant resource recovery outcomes. This is a form of economic appraisal that will assist the NSW Environmental Trust to understand the private and public benefits associated with your proposal.

Commercially sound projects that seek to maximise public benefits (such as diversion of waste from landfill, other environmental benefits, employment of people with disabilities and creation of new jobs) will be favourably considered. Applicants should provide a detailed analysis of the following criteria to support their application:

- all costs are identified (capital, operating, maintenance, provision for contingencies)
- all benefits are identified (e.g. avoided costs, savings, and revenue from sale of recovered materials)
- net Benefits are assessed (using the discounted stream of costs and benefits based on NSW Treasury's economic appraisal guidelines), and include data on:
  - net present value with and without grant funding
  - benefit cost ratio
  - internal rate of return (percentage)
  - dollars of grant funding per tonne of additional material recycled
  - sensitivity testing (analyse option under different scenarios and discount rates)
- all references are documented including the data sources and assumptions



## Best practice in sustainability

It is an expectation that projects will implement best practice. In Infrastructure projects this can be defined as being mindful of the 'big picture' in designing, building, upgrading or enhancing a facility. Incorporating all elements of sustainability, this could include passive solar design, the aspect of the building, using locally native species in landscape design, use of LED lighting or incorporating natural lighting where possible, using recycled materials, using alternatives to concrete or minimising the use of such and incorporating water sensitive urban design principles. Stream 1 and Stream 2 projects should demonstrate consideration of sustainability as it relates to the project.

## Business case support

**Stream 1 applications only:** The EPA will make available up to eight hours of business case support to prospective applicants. The role of the advisors will be to support the applicant as they prepare their business case; advising on appropriate analysis, content and presentation of information. In other cases the advisor will provide comment and critical feedback on the quality of the business case presented. Business cases prepared in a consistent format and to high standards will streamline the assessment process and increase the overall quality of grant applications.

The advisors **will** cover the following areas of planning and analysis expertise:

- Market analysis, including supply of waste and demand for product
- Technical analysis, including selection, integration and optimisation of plant and equipment
- Cost benefit analysis, including the preparation of a cost benefit analysis consistent with NSW Treasury Guidelines and assessment of net public benefits
- Economic analysis, including the external costs and benefits
- Planning and licensing analysis
- Project planning to detail steps involved in commissioning and ongoing operation of the infrastructure

Advisors **will not** be funded by the EPA to:

- Gather the necessary background information (although they can provide advice on where to access the necessary information. It is expected that the applicant would have already developed or have this ready)
- Prepare a complete business case on behalf of the applicant
- Prepare a complete Environmental Trust grant application on behalf of the applicant

To apply, applicants will need to complete the EPA's Business Case Advisory Service [application form](#) which can be found on the Trust's web page.

The provision of support is at the discretion of the EPA and not all applicants will receive support, however not receiving support does not infer ineligibility under this program.

If you are successful, the EPA program manager will contact you and will arrange a meeting time with the advisor. Advisors are contracted by the EPA and are bound to keep information provided by applicants as confidential.

Requests for support under the Business Case Advisory Service are available between: **Thursday 12 May to 5pm**  
**Friday 17 June 2016**

You are encouraged to apply early to allow sufficient time and resources for your request to be met.

## Assessment criteria

Selection for Trust grants is a merit-based process. Eligible applications in both Streams 1 and 2 will be assessed by an independent Technical Review Committee against the assessment criteria set out in the following tables.

Your application should be prepared with all of the selection criteria in mind. Every criteria is scored and the overall score will contribute to the rank of the application against others.

You should identify the problem, proposed solution and any outcomes that will be achieved through the project. It is important to clearly justify the need for the project in the Project Details section of the application.

**There are separate assessment criteria for Stream 1 and Stream 2. Please read both carefully and address the relevant set.**

### Stream 1 Assessment criteria: Capital infrastructure

1	Commercially focussed Innovation
	<ul style="list-style-type: none"> <li>• First of its kind technology/process in NSW</li> <li>• Enabling technology: enable new or innovative market driven products, services, or more efficient processes</li> <li>• Focus on higher order recycling on waste hierarchy, including upcycling</li> <li>• <b>Not previously funded</b> under Waste Less, Recycle More or other funding programs</li> <li>• Demonstrated commercial application</li> </ul>
2	Market analysis and business case
	<ul style="list-style-type: none"> <li>• Access to supply of material to utilise the processing capacity (qualitative assessment of the likelihood that supply is or can be secured) <ul style="list-style-type: none"> <li>▪ Suppliers of waste are identified</li> <li>▪ Pricing and service offering is viable and/or credible</li> </ul> </li> <li>• Access to markets to utilise the recovered materials (qualitative assessment of the likelihood that demand is or can be secured) <ul style="list-style-type: none"> <li>▪ Buyers of recovered materials are identified, with supporting evidence</li> <li>▪ Appropriate specifications and quality standards for products selected</li> <li>▪ Compliance of products with Resource Recovery Exemption framework likely</li> <li>▪ Pricing and service offering are viable and/or credible</li> </ul> </li> </ul>
3	Diversion estimates
	<ul style="list-style-type: none"> <li>• Capacity to recycle materials, measured in tonnes per year; or</li> <li>• Capacity for removal of priority waste material from feedstock to increase recycling of other materials</li> <li>• Diversion of priority waste materials from landfill</li> </ul>
4	Technical analysis
	<ul style="list-style-type: none"> <li>• Effectiveness of the technology for the proposed application and materials</li> <li>• Evidence that the technology has been proven in similar applications, including overseas (written testimonials or contactable referees)</li> <li>• Suitability of the facility for the proposed location given other existing or planned servicing the locality/region.</li> </ul>
5	Planning and environmental protection licensing
	<ul style="list-style-type: none"> <li>• Ability to obtain relevant planning and licensing approvals (if required)</li> <li>• Level of compliance with existing licenses</li> </ul>
6	Project impacts
	<ul style="list-style-type: none"> <li>• Environmental benefits (including non-market costs and benefits)</li> <li>• Social benefits</li> <li>• Economic benefits</li> </ul>

7	Value for money
	<ul style="list-style-type: none"> <li>Grant dollars invested per annual tonne of additional recycling capacity (priority given to projects seeking less than \$100 per tonne per year of built processing capacity)</li> <li>Overall investment by government (minimise percentage) and the related co-investment leveraged</li> <li>Financial Analysis: Financial viability of project</li> <li>Cost Benefit Analysis (for projects with a total project value of \$1 million or more – Excel template to be submitted): Net public benefits based on the cost benefit analysis and compliance with NSW Treasury's Economic Appraisal Guidelines</li> </ul>
8	Demonstrated ability to deliver the project to a high standard
	<ul style="list-style-type: none"> <li>Sound project planning and methodology</li> <li>Demonstrated management skills, expertise and relevant experience</li> <li>Management systems currently in place</li> </ul>
9	Compliance History
	<ul style="list-style-type: none"> <li>Compliance with NSW environmental and planning laws</li> <li>Performance under any previous <i>Waste Less Recycle More</i> grants.</li> </ul>

## Stream 2 – Research and development: Assessment criteria

1	Commercially focussed Innovation
	<ul style="list-style-type: none"> <li>First of its kind research.</li> <li>The proposal will implement new or novel technologies, processes or practices not currently used for a specific application in Australia, NSW and/or the waste and recycling industry</li> <li>The proposal features new designs of existing technologies, processes or practices currently in use that can demonstrate a high degree of customisation or modification to suit a new or novel application</li> <li>Can lead to enabling technology, enable new or innovative market driven products, services, or more efficient processes</li> <li>Focus on higher order recycling on waste hierarchy, including upcycling</li> <li>Not previously funded under Waste Less, Recycle More or other funding programs</li> <li>Evidence that the research and development proposal has strong potential for commercial application</li> </ul>
2	Demonstration of robust research and development work
	<ul style="list-style-type: none"> <li>Partnerships with industry and tertiary/research institutes: Preference will be given where there is a partnership with an appropriate tertiary/research institute</li> <li>Principle Researcher has appropriate skills and demonstrated experience in this area</li> <li>Strong statistical, sampling or other relevant methodology will be applied</li> </ul>
3	Market analysis and business case
	<p>If research and development outcome is successful:</p> <ul style="list-style-type: none"> <li>Access to supply of material (qualitative assessment of the likelihood that supply is or can be secured) <ul style="list-style-type: none"> <li>Suppliers of waste are identified</li> <li>Pricing and service offering is viable and/or credible</li> </ul> </li> <li>Access to markets to utilise the recovered materials (qualitative assessment of the likelihood that demand is or can be secured) <ul style="list-style-type: none"> <li>Buyers of recovered materials are identified, with supporting evidence.</li> <li>Appropriate specifications and quality standards for products selected.</li> <li>Compliance of products with Resource Recovery Exemption framework likely</li> </ul> </li> </ul>
4	Diversion estimates
	<p>If research and development outcome is successful:</p> <ul style="list-style-type: none"> <li>Potential capacity to recycle materials, measured in tonnes per year</li> <li>Potential capacity for removal of priority waste material from feedstock to increase recycling of other materials</li> <li>Potential diversion of priority waste materials from landfill</li> </ul>

5	Project impacts
	<p>If research and development outcome is successful:</p> <ul style="list-style-type: none"> <li>• Environmental benefits (including non-market costs and benefits)</li> <li>• Social benefits</li> <li>• Economic benefits</li> </ul>
6	Likelihood of project success
	<ul style="list-style-type: none"> <li>• Sound project planning and methodology</li> <li>• Established partnerships with industry, research institutes, commercial partners</li> <li>• Management systems currently in place</li> </ul>
7	Demonstrated ability to deliver the project to a high standard
	<ul style="list-style-type: none"> <li>• Sound project planning and methodology</li> <li>• Demonstrated management skills, expertise and relevant experience</li> <li>• Management systems currently in place</li> </ul>
8	Compliance History
	<ul style="list-style-type: none"> <li>• Compliance with NSW environmental law</li> <li>• Performance under any previous <i>Waste Less Recycle More</i> grants and meeting objectives of previous grants</li> </ul>

## Additional guidance for Stream 2 applications

The information below has been provided for what is required when completing your application under Stream 2.

### Project description

This section needs to clearly state the who, what, where, how, why and impacts for this project – who is undertaking the project, what are you proposing to do, what is the strategic direction, where will the work be undertaken, how will you go about the project, why are you doing the project/why has this material been chosen, what impact will this project make on waste reduction? In addition the section should address:

- What are the expected key success factors for the project?
- When will these be achieved?
- How will the expected key success factors be measured?
- What does your organisation hope to achieve from this?

### Why?

It is important that a strong justification is provided for why this project should be funded. This includes providing:

- Details on the anticipated impact on waste reduction, market development or recycled materials of your project. Include what evidence and/or experience you have to base this on?
- The details of the anticipated financial implication of the project over its lifetime. This may include information of effect on the market, returns for the business etc.

### Who?

Delivery of robust research and development projects requires that the work is undertaken by persons with the appropriate research and technical skills, qualifications and expertise. Applications will need to clearly outline the role and details of both individuals and organisations that will be working directly or partnering with the project, including:

- Details of partners and stakeholders that will be a part of this project
- Clearly explaining what contribution each person will make
- Details of their expertise/experience
- Details of who you have spoken to about what for the project
- Any support from your partners and stakeholders that you have. This could include emails, letters, contracts etc.

## How?

To assess each project, applicants will need to provide a structured outline of the project that includes:

- A detailed summary of the stages of the project (including what is involved at each stage, i.e. research, trials, laboratory work, equipment type etc.)
- Description of how your project will:
  - directly recover or assist in the recovery of the priority problem waste material (or other) which are destined for landfill
  - develop or contribute to a product produced from a priority problem waste or increasing recycling of other materials through its removal from the waste stream
  - secure the necessary volumes of priority problem waste material for supply, product manufacturing (where relevant)
  - clearly demonstrate a viable end-market for the resources you recover and products you create (including with supporting evidence)

## Impacts

In the impacts section of the application, the applicant should articulate what success looks like and clearly describe the expected impacts of this project socially, environmentally and economically.

## Additional resources

The Trust strongly recommends that you consult with the EPA for assistance with your application. They can be contacted by telephone on (02) 9995 6191.

## Application and submission process

The Application consists of three parts:

**Note:** There are separate application forms for Stream 1 and Stream 2.

Part	Forms	Format	Note
<b>A</b>	Application Form	PDF (Smart form)	Form is locked. Size of the text boxes will not expand, so ensure your answer fits in the space provided.
<b>B</b>	1. Application Budget 2. Financial Analysis 3. Cost benefit Analysis	Excel Spreadsheet Excel Spreadsheet Excel Spreadsheet	1. Application budget form is locked. Do not cut and paste into the spreadsheet. 2. All projects must complete a Financial Analysis using the template provided. 3. Projects with a total project value of \$1 million or more a detailed Cost-Benefit Analysis using the template provided.
<b>C</b>	Project Plan	Word document	Form will expand to accommodate your answers.

These documents can be downloaded from the [Trust's website](#). For further information on Part B: Application Budget, please refer to the instructions within the Excel document.

The following documents must be submitted for each stream.

**Stream 1**

- Part A: Application Form
- Part B: Application Budget
- Part B: Financial Analysis
- Part B: Cost Benefit Analysis for projects with a total project value of \$1 million or more
- Part C: Project Plan.

**Stream 2**

- Part A: Application Form
- Part B: Application Budget
- Part C: Project Plan

### Who to contact if you need further help

Application Assistance
NSW Environmental Trust Phone: (02) 8837 6093 Email: <a href="mailto:waste.recycling@environmentaltrust.nsw.gov.au">waste.recycling@environmentaltrust.nsw.gov.au</a>

General program issues or questions
NSW Environment Protection Authority Phone: (02) 9995 5738 Email: <a href="mailto:infrastructure.grants@epa.nsw.gov.au">infrastructure.grants@epa.nsw.gov.au</a>

### Letters of support

If letters of support are submitted with your application they must be signed by a senior manager or senior officer bearer of the organisation providing them and be directly related to the project.

### Attachments

Any additional material submitted with your application must be kept to a minimum. Please limit the number and size of attachments, as large attachments will not be forwarded to the Technical Review Committee for consideration. Use extracts as appropriate with reference to full documents. If you do provide attachments they must be referenced in the application by document and page number. Provide a concise answer in the space provided and reference to additional information. Do not merely state 'see attachment' as this will not be considered as an answer.

## Application submission

It is recommended that you read all sections of the Guidelines for applicants, particularly those sections covering the objectives of the program, eligibility, assessment criteria and GST.

**Applicants must adhere to the naming instructions for submitting their application documents.**

Before submitting your application, please refer to the submission process set-out below.

<ul style="list-style-type: none"> <li>• Answer <b>all</b> questions in Part A - Application Form.</li> <li>• Type only in the spaces provided in the application form. Answer boxes are a set size, and will not expand to accommodate additional text.</li> <li>• Application form must be submitted as a <b>PDF smart form</b> (see instructions in the form and on the web page).</li> <li>• Application budget, financial analysis and cost benefit forms must be submitted as Excel documents. <b>DO NOT PDF</b></li> <li>• Project Plan form: must be submitted as a Word document. <b>DO NOT PDF</b></li> <li>• Cost Benefit Analysis and Financial Analysis must be submitted using the Excel templates provided. <b>DO NOT PDF</b></li> <li>• Have your application authorised by the appropriately authorised people.</li> <li>• Attach all required supporting information. Additional information should be kept to a minimum. <b>If your application refers to a large document, only include the relevant pages of that document</b> i.e. title page, executive summary, relevant pages.</li> <li>• Submit your entire application by <b>ONE</b> of the methods below - <b>DO NOT</b> Email AND post. <b>Note:</b> Email is the preferred option. Posted USB applications must be received on or before the closing date.</li> <li>• <b>Do not fax</b> any part of your application.</li> <li>• <b>Do not ZIP your application documents.</b> ZIP files <b>cannot be accepted</b> by the Trust.</li> <li>• Email subject line format must be: <b>Organisation Name – PPW Stream 1 or 2.</b></li> <li>• One application per email. If more than one, number accordingly. i.e. <i>XYZ Company PPW Stream 2 Application 1.</i></li> <li>• Submit your application form and all other documents by the <b>closing date 5pm Monday 27 June 2016</b></li> </ul>		
<b>Email to:</b>	waste.recycling@environmentaltrust.nsw.gov.au	<ul style="list-style-type: none"> <li>• Ensure you email your entire application, including all attachments.</li> <li>• <b>Note:</b> Emailed applications cannot exceed <b>10MB</b> including all attachments.  If the files exceed 10MB please contact the Trust well ahead of the submission date for alternative submission facility or submit as a series of emails.</li> </ul>
<b>Post to:</b>	NSW Environmental Trust PO Box 644 PARRAMATTA NSW 2124	<ul style="list-style-type: none"> <li>• If your application exceeds 10MB, you may submit all your forms and supporting documents on a USB.</li> <li>• Hardcopies will not be accepted.</li> </ul>

**Any application that is late, incomplete or ineligible will not be considered.**

## Assessment and notification

### Application receipt acknowledgement

You should expect acknowledgement of your grant application within three weeks of the closing date. Confirmation will include your unique reference number, which should be used in all correspondence to and from the Trust. If you do not receive acknowledgement within three weeks, please contact the NSW Environmental Trust on (02) 8837 6093.

**Note:** If you submit your application by email, the Trust will acknowledge receipt of your application within two working days. If you have not received notification of receipt of your email within this time it is your responsibility to contact the Trust to ensure that your email has been received.

### Assessment and approval process

After the closing date, Trust Administration will check whether your grant application is eligible and complete for assessment purposes. Based on advice from the EPA, Trust Administration reserves the right to re-allocate your application to the Resource Recovery Facility Expansion and Enhancement grants program should it be considered a better match for your proposal. This will be done to optimise the chance of success for your project but does not guarantee funding.

The Trust establishes a Technical Review Committee (TRC) for each grant program. The Trust's TRC's are made up of people with knowledge and experience relevant to each grant program and include at least one representative of community groups and at least one representative of industry. Committee members agree to undertake their duties within the principles of ethical conduct – integrity, objectivity and independence. They are also required to keep all matters concerning the application process confidential and to declare any potential conflict of interest.

Applications will be assessed by the TRC using the assessment criteria outlined on pages 7 and 8, and will make recommendations to the Trust who will determine and approve the funding. Successful applicants may not receive the full amount requested and may be subject to special, as well as general, conditions of funding. A sample copy of the standard *Deed of Agreement* can be found on the Trust's website.

It is strongly suggested that you read this deed before applying, and seek any clarification from Trust staff.

Unsuccessful applicants can request feedback on their applications by contacting the Trust Administration.

Decisions by the Trust are final. There is no appeal process.

## Obligations of successful applicants

### Funding agreement

Applicants who are successful will be required to enter into a performance-based Deed or Letter of Agreement which will stipulate all funding obligations and conditions. The Trust will monitor the progress of projects. Funding is normally provided in staged payments, and continuing payments are dependent on satisfactory Milestone Reports.

Applicants should be aware that project start-up or establishment costs should be kept to reasonable amounts. All upfront costs will need to be substantiated by quotes for products and services and/or statements of expenses incurred by the project.

Successful applicants will have up to 30 days from the date of formal notification of the offer of funding to sign a Deed or Letter of Agreement. If the Deed or Letter of Agreement is not signed within the specified period, the offer of funding may automatically lapse.

Successful applicants will also be required to:

- Demonstrate that any previous EPA/Trust/OEH grants received by your organisation are progressing satisfactorily.
- Provide written evidence from any project partners who are contributing funds to the project.



- Have or can demonstrate that all necessary planning, regulatory or other approvals have or will be granted, to ensure all project activities are completed within the designated timeframe.
- Confirm a final schedule of payment and reporting dates relative to project activities.
- Sign a Deed of Agreement that sets out terms and conditions associated with the grant.
- Provide evidence of appropriate insurance coverage as determined in the Deed of Letter of agreement.
- Forward a tax invoice to the Trust for each instalment of their grant, plus GST if applicable.
- Seek prior approval to alter proposed project plan, project measures, timeframe or budget.
- Comply with all conditions contained in the Deed or Letter of Agreement.
- Provide Milestone and Final Evaluation Reports in accordance with the reporting requirements outlined in the Deed or Letter of Agreement, including independently audited Statements of Expenditure.
- Acknowledge the Trust's and EPA's support in all promotional material or any public statement about your project. Your acknowledgement must include the dual Trust and EPA logo.
- Be prepared for all knowledge gained as part of the grant to be made publicly available whether that be publishing the Final Evaluation Report or promoting the project via other avenues available to the Trust or the EPA.

### What happens if I supply false or misleading information?

Applicants must certify that all of the information in the application is true and correct. Please note that if applicants supply information as part of the application that is false or misleading in a material particular, the application will not be considered OR, if the grant is made and it is discovered that information supplied was false or misleading in a material particular, the grant will be revoked and funds, plus interest, must be repaid. An assessment regarding possible fraud will also be undertaken and appropriate legal action initiated if warranted.

#### Confidentiality

The Trust will use the information you supply to assess your project for funding. Information on funding projects may be used for promotional purposes.

We will endeavour to treat sensitive personal and confidential information that you provide to us confidentially. If you require strict commercial confidentiality, you should request this in your application. However, all documents held by the Trust are subject to the [Government Information \(Public Access\) Act 2009](#).

### Intellectual property

The applicant must own or be able to lawfully use any intellectual property required to carry out the project. The applicant will be required to grant the Trust (without cost) a non-exclusive irrevocable licence to use, reproduce, communicate to the public, or adapt the intellectual property in the project.

### Privacy

The Trust may disclose information you supply to us for the purpose of evaluating and/or auditing grant programs. If you require strict commercial and/or personal confidentiality, you should address this in your application.

### Goods and services tax (GST)

GST applies to payments made under the Innovation in Priority Problem Waste Management Grants Program. However, some grants of financial assistance may be subject to income tax in the hands of certain recipients. It is therefore recommended that potential recipients seek independent legal and financial advice if uncertain of the taxation obligations.

Please note that in accordance with advice from the Australia Tax Office (ATO), the Trust will not be adding GST to any grant made to a government agency and that government agencies will no longer be liable to the ATO for GST for receipt of the grant from the Trust.

### Partnerships

Do not underestimate the importance of partnerships when planning your project. Obtaining the support of other organisations/groups can significantly add value to a project by spreading 'ownership' of the project to a wider audience and sharing responsibility for the project outcomes. You must provide evidence of your project partners' support when submitting your application.

## Program changes

The Trust reserves the right, as its sole and absolute discretion and at any time, to change the eligibility and selection criteria for the Innovation in Priority Problem Wastes Management grants program. Current eligibility and selection criteria for the PPWM are described by this document.

## Conflict of interest

Applicants are required to declare any real, potential or perceived conflict of interest (COI) that they may be aware of in relation to the awarding of a grant, particularly where:

- the project for which funds are being sought is to be undertaken on private land where that land is owned by a member or members (or relatives) of the organisation applying for the grant
- members, or relatives of members, of the applicant organisation are being paid as project managers with Trust funds
- members, or relatives of members, of the applicant organisation are being paid as contractors with Trust funds
- works carried out by the project could create current or future financial or other benefit for members of the organisation applying for the grant, or their relatives

Such circumstances do not exclude the project from being funded, however they do need to be acknowledged as a potential COI. The Committee will assess each situation on its merits and environmental need.