



Waste Authority



Department of  
Environment and Conservation

Our environment, our future



## GUIDELINES FOR APPLICANTS STRATEGIC WASTE INITIATIVES SCHEME (SWIS)

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### SCOPING FOR THE 2009 STRATEGIC WASTE INITIATIVES SCHEME

#### INTRODUCTION

The Strategic Waste Initiatives Scheme (SWIS) provides funding support for waste initiatives, under the Strategic Direction and the Waste Avoidance and Resource Recovery Account (WARRA)

#### CALL FOR PROPOSALS

There is an advertised call for projects consistent with the Statement of Strategic Direction for Waste Management in Western Australia: Vision and Priorities. Information about the Strategic Direction and the priority areas for funding are published on the [www.zerowastewa.com.au](http://www.zerowastewa.com.au) website.

Applicants wishing to obtain a copy of the current SWIS Application Form should email their request to the WARRA Grants Officer – [bianca.king@dec.wa.gov.au](mailto:bianca.king@dec.wa.gov.au) and an electronic copy will be sent out. Out of session Grant applications will not be accepted.

From the received applications with the certification, the Authority will then select a number of projects which it considers a good fit with the current priority areas for funding and which complement the work being undertaken by the Authority itself.

Advertisements for SWIS projects will be run twice each year. There is a limited amount of funding available each year. There is also a limit to the amount of time the Authority can devote to SWIS project assessment. Limiting the number of advertised calls for SWIS proposals will allow better management of the allocation of funds and will save the Authority from being constantly involved in assessment of proposals.



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### *Deciding priorities*

The waste matrix focus area contained within the 'Strategic Direction for Waste Management in Western Australia' generated for 2004/05 is still considered generally relevant. However, the Authority's 'Priority Areas for Funding' is the most recent and relevant guidance on what types of projects are most likely to be supported.

### *Types of Projects*

The aim of the SWIS program is to support strategic waste initiatives in Western Australia. The Authority has identified a list of priority areas for funding and in particular is seeking proposals for projects which address these wastes. These priority areas for funding are identified in the advertisement.

The Authority will not define categories of projects which are unacceptable, and will therefore accept applications through the application process for any proposal or concept. Projects however must be based in Western Australia.

However, any proposal submitted for consideration must be clearly linked to the Strategic Direction for Waste Management in Western Australia. Each proposal will be considered on its own merits, according to how effectively it is judged to meet the objectives of the Strategic Direction document and the Authority's 'Priority Areas for Funding'.

## **ASSESSMENT**

A working group of Departmental officers and Authority members will assess the projects. Following this process, recommendations will be submitted to the full Authority for consideration. Membership of the working group of members is determined by the Authority. For consistency purposes, it is desirable to have the same group of persons assessing all applications. For particular cases, the Authority may consider it desirable to undertake an independent expert assessment of projects by a consultant engaged for that purpose.

### *Assessment Criteria*

To assist it in the assessment process the Authority has agreed to use a set of criteria, and these are outlined in detail within the guidance documentation below. These assessment criteria address many aspects of the project including relevance, likelihood of success, and the chances that the results will be actively deployed within the community and state.

The Authority uses the assessment criteria as a tool to develop a case for supporting or rejecting a particular project. However, the final determining factor is the merit of the project as determined by the Authority through the overall assessment process.



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### ASSESSMENT OF PROJECTS

Projects submitted for consideration will be assessed according to the following criteria:

#### Focus Areas And Intervention Points (Question 14)

<b>Prevention</b>	The proportion of the project that is directed towards prevention strategies.
<b>Recovery</b>	The proportion of the project that is directed towards recovery strategies.
<b>Disposal</b>	The proportion of the project that is directed towards disposal strategies.
<b>Priority Areas</b>	The priority area/s to be addressed. Projects may not fall within a priority area and still receive funding if they are exceptional candidates.

#### Outcomes of Project (Question 15)

**Environmental, social and economic impacts of your proposal and the effect on resource use efficiency**

List the positive (and negative) impacts your project will have. Projects without significant impacts are unlikely to be supported.

**How will your project be actively deployed?**

It is important that WARRA grants benefit the State and the whole community wherever possible. A plan of how the benefits of your project will be communicated to relevant stakeholders will assist greatly in helping us understand the broader impact of your project.

#### Is this project innovative? (Question 16)

**Will the project produce something new to Western Australia?**

A key use of SWIS is to support organisations trying to bring new technologies, capacities, or knowledge to our State. If your project is not innovative, it may not have sufficient value to be supported.

**Is intellectual property required?**

Projects without access to required intellectual property will not be supported until access is acquired.



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### Is Your Project Ongoing? (Question 17)

#### Will recurrent funding be required?

If so, your project will probably not be supported. Recurrent funding restricts the amount of funding available in future SWIS rounds. Your project should include details of how it will become self-sustaining financially within 12 to 24 months.

### Will your project give your organisation any commercial, financial or competitive advantage? (Question 17)

#### Competitive Advantage,

SWIS funds will generally not be available if the support will distort the competitive marketplace. Funding must not be applied inequitably.

### Capacity to complete project (Question 18)

#### Physical capacity, and expertise,

Does your organisation have the time, and the skills to complete the project on time, and to the stated standard?

#### Previous grant history,

Poor performance in previous granting arrangements may work against your organisation. Having no prior record with the WARRA does not work for or against you.

### Are you bound to do this project? (Question 19)

#### Likelihood that project will be completed without funding from WARRA,

This question will place your project in context. If you are legally bound to do the project regardless of the outcome of the application, then funds may be diverted to other projects which may not go ahead without funding. However, if the project is deemed sufficiently important, support may still be available.

### Legal Issues

Applications must comply with laws and regulations of Western Australia. Projects must comply with all laws, by-laws, regulations and approvals required at all levels of government.

Any use of the Waste Avoidance and Resource Recovery Account is to be in accordance with Section 110H (4) of the Environmental Protection Act.



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### Accountability Principle

In general, a comprehensive budget is required with an explanation and supporting evidence to explain anticipated costs. For some project applications, the Waste Management Authority might expect to be provided with associated documents. Applicants should expect to provide a range of supporting information such as

- **business plans;**
- **marketing plans and outcomes; and**
- **milestones.**

As a general rule, applications which seek funds should have at least a basic Business Plan. The larger the amount of money requested, the more detail is expected in the supporting documents. Proponents of large projects may need to provide on request independent assessment and other requirements as determined by the Waste Management Authority.

The assessment will consider whether the project represents good **value for money**. These value for money judgements will take into account the cost effectiveness of the project and whether the project provides a public good, or only benefits a private individual or group.

An appraisal will be made of the value of the **proponent's contribution** (or other third party contribution) where these contributions are in a form other than cash. As well as assessing the true value of the contribution or the level of the local commitment to the project, the level of local community support for the project, or other external support will also be considered within the assessment.

### In-kind or In-house Costs

To assess the value of internal contributions claimed for the project by the proponent:

- **For community and charity groups.**

Voluntary staff contributions should be costed at no more than the minimum wage.

- **For local government and businesses**

Wage costs should be at marginal cost unless contracted out to an independent body. The cost of any equipment being contributed or hired to the project should be at marginal rates.



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### Competitive Tendering Principle

Any item to be purchased or contracted out, requires:

- below \$10,000 at least 3 quotes from recognised suppliers
- \$10,000 to \$49,999 - advertised call for supply and invitations to submit a proposal to a significant number of appropriate suppliers
- \$100,000 - in accordance with standard tendering procedures of government, local government and industry, that is:
  - Advertised call for tenders in appropriate newspapers and journals.
  - Invitations to submit a tender to appropriate suppliers.
  - Tender package developed that includes specifications and evaluation procedure.
  - Regional suppliers may be given preference but only to the extent of the tendered cost being no more than 15% above the cheapest conforming bid.

The Authority may vary these conditions for particular projects at their discretion.

### Open Recruitment Process

It is envisaged that most recipients for SWIS support will bring their existing human resources to the project. For projects where the support to be provided will essentially be used to employ extra staff, recruitment should be undertaken using an open advertising and selection process.

### Recurrent Expenditure (ongoing running costs over more than one year)

Recurrent expenditure is not encouraged for any project submitted for consideration under SWIS. If recurrent expenditure is required, it should be tied to a strategy to make the project self-funding within a period of time.

### Competitive Principle (see question 17)

Competition factors are significant issues for the Authority to consider when making decisions about awarding SWIS assistance to projects. However, there are qualitative issues which impact on a case by case basis.

As a general rule, assistance is not awarded to any organisation if this knowingly distorts competition. Any grant or other support which may be awarded should not give a competitive advantage to one company over another, or generally to one sector over another such as local government over private industries; academia over industry; or community groups over industry.



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Generally, assistance to industry is only provided where there are no local competitors, or for innovative or pioneering projects. An exception is made when it is considered the support may stimulate an activity that would otherwise not take place within the normal competitive environment; where there is no clear or immediate financial return; where the support might ensure local value-adding for resources which are currently exported or down-graded in their re-use; or where an activity might give a strong message to the community about becoming involved in waste reduction and recycling.

Market impacts are considered when recommending grants or other forms of support. Applicants should contact the Fund administrators to clarify any issues on the competitive principle.

### Similar Projects

Submissions will not be considered for projects which are similar to, or simply replicate earlier projects which have been previously supported unless the Authority is explicitly seeking to see project work repeated or replicated.

### Viability Principle

It is important that any project receiving support is viable.

Applicants must adequately demonstrate the feasibility and suitability of their project. In particular, technical feasibility and risk assessment needs to be demonstrated. Applicants seeking financial support must demonstrate a good business case for the funding that has been requested.

The minimum requirement to meet this need is a detailed Business Plan to show how financial aspects of the project will be managed.

Proponents of projects should also address the following through an appropriate plan:

- demonstrated access to raw materials;
- access to a process or technology which is proven or has demonstrated prospects;
- management structure, expertise and track record;
- demonstrated market prospects;
- access to finance;
- cash flow analysis - profit and loss projections; and
- training and access to technical expertise.

On-going projects should not depend on receiving continuous financial support from the Waste Avoidance and Resource Recovery Account or any other external source of funds. Any project which seeks financial support under the SWIS program must demonstrate a **clear end to project funding**. Projects should not rely on continuous or on-going funding. Proponents of any project should provide evidence to demonstrate the long term financial viability of the project.



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### Project Timing

Projects should commence within a time period specified by the Waste Management Authority. Projects should be completed within 12 months of advice being received of approval of the project, unless approved otherwise. If it is intended that the project will be ongoing, it must be demonstrated how the project will be sustained when the SWIS support expires.

### Insurance Cover

Applicants will be expected to provide and have in place adequate insurance cover

### Intellectual Property

Applicants will be expected to have arranged their own access rights to any intellectual property that may be required for the project before the commencement of the project. The Authority expects that any reports arising out of the project will at the very least be made publicly available on its website. Applicants that are not prepared to agree to this condition will need to state this explicitly and in doing so recognise the application may be rejected on this basis alone.

### Eligibility

To be eligible projects must:

- not exceed the capacity of SWIS resources;
- provide for an independent project financial report at the end of the project; and
- provide for at least one progress report during the project, and a final report on completion of the project.

Assistance will **not** be provided for what is considered to be the **core business** of an applicant. Core business is any role, function or activity for which the applicant (or some other person or body) would normally be responsible.