

**Urban Renewal
Heritage Preservation
and
District Revitalisation
Funding Scheme**

Application Guidelines



市區更新基金
Urban Renewal Fund

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CONTENTS

1. INTRODUCTION 3

2. OBJECTIVES 4

3. HERITAGE PRESERVATION AND DISTRICT REVITALISATION IN THE URBAN RENEWAL CONTEXT 5

4. THEME OF THE FIFTH ROUND OF THE FUNDING SCHEME 6

5. WHO IS ELIGIBLE TO APPLY FOR FUNDING? 7

6. WHAT TYPES OF PROJECTS WILL THE FUNDING SCHEME SUPPORT? 8

7. HOW WILL THE APPLICATIONS BE PROCESSED? 9

8. FINANCIAL ARRANGEMENTS 11

9. WHAT ARE THE OBLIGATIONS OF THE GRANT RECIPIENTS 13

10. WHO SHOULD THE APPLICANTS APPROACH FOR ASSISTANCE DURING THE APPLICATION PROCESS? 15

11. NOTES ABOUT PERSONAL DATA OF APPLICANTS 15

Annex 1 - Notes for Submission and Application Form 18

Annex 2 - Assessment Criteria for the Funding Scheme Applications 25

Annex 3 - Expression of Interest for Application 26

1. INTRODUCTION

As part of the new Urban Renewal Strategy promulgated in February 2011, one of the main objects of the Urban Renewal Trust Fund is to support heritage preservation and district revitalisation initiatives in the urban renewal context. As the trustee of the Trust Fund, the Urban Renewal Fund (URF) operates the Urban Renewal Heritage Preservation and District Revitalisation Funding Scheme (the Funding Scheme) to provide financial support to urban renewal preservation and revitalisation projects proposed by the community.

The First Round of the Funding Scheme was launched in September 2012; and the Second, the Third and the Fourth Round in September 2013, October 2015 and December 2017 respectively. Under the four Rounds 16 projects were approved, each with distinct characteristics. Through this “bottom-up” funding platform, the URF will continue to provide funding support to preservation and revitalisation projects initiated and implemented by various stakeholders in the community.

The Fifth Round of the Funding Scheme will have a theme and applications for both thematic and non-thematic projects will be considered.

2. OBJECTIVES

The Funding Scheme provides an independent funding source aiming:

- (a) to promote heritage preservation¹ and district revitalisation² in the urban renewal context to improve the quality of life of residents in the old urban areas³;
- (b) to provide financial support to urban renewal heritage preservation and district revitalisation initiatives from Non-Governmental Organisations (NGOs) and other stakeholders; and
- (c) to encourage community participation in heritage preservation and district revitalisation at the local level.

Notes:

¹ Heritage Preservation in the wider context means all the processes of looking after a place so as to retain its cultural significance, and preserving intangible and tangible cultural heritage. (Reference: *The Burra Charter 2013*)

² District Revitalisation is generally referred to developing and redeveloping the district in a sustainable meaningful way through preserving the local identity, maintaining the land values, generating a necessary momentum of activities and enhancing the quality of the public space and living environment of the local area. (Reference: Barber, A. and Porter, L., 2007. *Planning the Cultural Quarter in Birmingham's Eastside. European Planning Studies, 15 (10), pp. 1327-1348*)

³ As far as the Funding Scheme is concerned, Urban Areas refer to areas within the boundary of the Metro Area (viz. Hong Kong Island, Kowloon, Tsuen Wan and Kwai Tsing).

3. HERITAGE PRESERVATION AND DISTRICT REVITALISATION IN THE URBAN RENEWAL CONTEXT

In the urban renewal context, the Funding Scheme will provide grants to projects falling within the scope of heritage preservation and district revitalisation, including:

3.1 Heritage Preservation

- (i) Preserving buildings, sites and structures of historical, cultural and architectural value.
- (ii) Preserving and promoting understanding of intangible cultural heritage.⁴
- (iii) Facilitating adaptive reuse of heritage buildings.
- (iv) Preserving the local colour of the community and the historical characteristics of the district.

3.2 District Revitalisation

- (i) Enhancing the characters of the local area by promoting its history, culture, urban fabric, socio-economic characteristics and other local features.
- (ii) Enhancing the quality of the living environment of the local area by providing more public open space and community facilities.
- (iii) Beautifying streetscape with enhancement works and improved design.
- (iv) Cultivating a diversified business environment and adding interests and attractions to the community by promoting local economic development, social enterprises and other community activities.
- (v) Building community capability by public education programmes, neighbourhood enhancement programmes and development of good practice guidelines and standards.

⁴ May refer to Intangible Cultural Heritage Inventory of Hong Kong (www.heritagemuseum.gov.hk) for definition of intangible cultural heritage.

4. THEME OF THE FIFTH ROUND OF THE FUNDING SCHEME

4.1 The theme is:

Co-Creating Community Space: New-Old Fusion; People-Place Connection; Artistic Ambience

- *Co-create community space with multiple partners and citizen participation*
- *Highlight community culture and historical developments in the design and use of space to enhance new-old fusion*
- *Increase usable public space in the community to enhance people-place connection*
- *Shape local character in community space to promote cultural and art development and an artistic ambience*

4.2 Applications for both thematic and non-thematic projects will be considered. Applications for thematic projects will receive particular consideration in the current round of applications.

5. WHO IS ELIGIBLE TO APPLY FOR FUNDING?

- 5.1 Eligible organizations include non-governmental organizations, educational institutes, professional bodies and social enterprises, and other entities if the project is formed as a part of their corporate social responsibility (CSR) or is carried out in partnership led by not-for-profit organizations.
- 5.2 Application from individual, aged 18 or above who is ordinarily resident in Hong Kong, will be considered if the applicant can show a proven evidence of his/her expertise in the applied project, and a traced record to demonstrate his/her ability to execute the project and commitment to realize his/her ideas.⁵
- 5.3 Applicants other than the above will be considered on a case-by-case basis but it is mandatory that the project under application is for non-profit making purposes.

⁵ Individual applicants are required to have a warrantor countersign the application form. By countersigning the form, the warrantor will confirm that information provided therein is true, complete and accurate.

6. WHAT TYPES OF PROJECTS WILL THE FUNDING SCHEME SUPPORT?

- 6.1 Projects should seek to promote the broad objectives of the Funding Scheme.
- 6.2 Projects within the scope of heritage preservation and district revitalization in the urban renewal context will be considered.
- 6.3 The benefits of projects must accrue to the community, and not just a single organization, or a sector.
- 6.4 Projects should be non-profit making in nature. Any income derived from a project must be used to further the project's objectives.
- 6.5 In considering a project proposal, due consideration will be given to –
 - (i) whether the project will likely bring significant benefits to the community;
 - (ii) whether the project can bring sustainable impact to heritage preservation and/or district revitalisation and build the community capability; and
 - (iii) whether the project will have clear and specific outcome indicators, for example in the aspects of improvement of quality of life of the residents or generation of positive social impacts;

7. HOW WILL THE APPLICATIONS BE PROCESSED?

- 7.1 Please refer to the Notes for Submission and Application Form at *Annex 1*.
- 7.2 The URF will issue an acknowledgement letter to applicants within two weeks of receipt of the application.
- 7.3 The URF Secretariat will conduct an initial screening to ensure that submitted applications are complete.
- 7.4 Applications will be assessed by the URF Board, which is responsible for approving the application and deciding on the level of grant. The decision of the URF Board shall be final. Please refer to *Annex 2* for the Assessment Criteria for Funding Scheme Applications.
- 7.5 For the purpose of enhancing understanding of the details of an application, an applicant may be invited to provide supplementary information or to present their proposal to the URF Board.
- 7.6 The amount of grant for each application is within \$5 million while projects involving construction works will be considered on a case-by-case basis, which could be within the range of \$6 million to \$26 million for the most recent projects.
- 7.7 The period of funding sought for a project is preferably in the region of two years and a funding period for projects involving construction works will be determined on a case-by-case basis. The applicant may operate the project on a self-financing basis or with alternative sources of funding after the funding period, but there will not be any formal relationship between the project and the URF.
- 7.8 Application to the Funding Scheme for further development of an existing approved project may also be made but will be considered entirely on its merits and results of the current project.
- 7.9 Applications made on a two-round process with feasibility and design phase and delivery phase may be considered on a case-by-case basis. Upon funding approval and satisfactory completion of first round, applicants could develop a more detailed second-round application.

- 7.10 Provided all relevant information is available, the URF would advise applicants of the results of their applications within six calendar months after the closing date of applications.
- 7.11 A successful applicant will be required to enter into a written agreement with the URF (Grant Agreement). The Grant Agreement, together with these Application Guidelines, the proposal(s) and budget(s) as submitted by the successful applicant (subject to such modifications as the URF may stipulate), as well as all requirements, directions and orders relating to the project as may be prescribed or made by the URF, constitute the complete terms and conditions of a grant to be made under the URF to that successful applicant. The Grant Agreement will cover matters including, but not limited to, obligations of the grantee, payment of the grant, intellectual property rights arising from the project material, confidentiality, procurement of goods and services and an early termination clause. A standard form of the grant agreement may be made available to applicants for perusal upon request. Notwithstanding anything herein to the contrary, no grant shall be made under the URF to a successful applicant, until and unless a grant agreement is entered into between the URF and the successful applicant.

Expression of Interest for Application

- 7.12 Before submitting a full funding application, interested organizations are strongly encouraged to submit an expression of interest to the URF first to start the dialogue process. Without the need to provide too many project details or to enter into detailed assessments, the expression of interest will facilitate exchanges of views between the organization and the URF on the project idea resulting in an early indication of whether in-principle support for the proposed project is forthcoming from the URF, based on which the organization will decide whether to submit a full funding application. Please refer to *Annex 3* for the information required in the submission of the expression of interest.

8. FINANCIAL ARRANGEMENTS

Upper and Lower Limit of Grants

- 8.1 The maximum amount to be applied for is normally not more than HK\$5 million for each application. An exception will be granted on a case-by-case basis depending on the unique circumstances of each application (see paragraph 7.6). There is no pre-set level of minimum funding for projects.

Full and Itemised Budget

- 8.2 Applicants will be required to provide a full and itemized budget for their proposed projects.
- 8.3 Staff costs and honorarium payments for projects, where appropriate, can be considered and supported on a time-limited basis. Grants cannot be used to create any permanent staff posts or recurrent commitments. Acquisition costs will not be supported.

Project Income

- 8.4 Should the applicant expect any income in the project, this should be noted in the application.

Payment to Grant Recipients

- 8.5 Grant recipients should keep a separate interest-bearing Hong Kong Dollar account with a bank licensed in Hong Kong, for the Funding Scheme. Subject to para. 8.8 below, the unspent amount of the grant should be kept at all times in that account.
- 8.6 A one-off lump sum payment will be made to grant recipients in respect of projects with a time-span of six months or less. For projects lasting more than six months, an advance payment to grant recipients upon approval of the project may be considered on a case-by-case basis. Further payments would be made to recipients in accordance with a schedule of payment shown on the relevant grant agreement.
- 8.7 Expenses incurred before the commencement date of the project will not be reimbursable from the Funding Scheme. Applications for supplementary grants will not normally be considered. The URF accepts no liability for deficits arising from projects funded by the Funding Scheme.

- 8.8 Following the completion of the project, any unspent amount of the grant must be returned to the URF.
- 8.9 The grant recipients should maintain proper books, accounts, relevant records and information related to the approved projects. These records should be kept for two years after the completion of a project, and be available for inspection by authorized personnel of the URF at all reasonable times.
- 8.10 Where circumstances justify, the URF may withhold or reclaim any payment from grant recipients in accordance with the grant agreement.

Purchasing

- 8.11 Grant recipients should ensure that the purchase of goods and services in relation to their projects be made on a competitive basis by obtaining quotations from a number of suppliers to ensure openness and value for money.

Project Involving Construction Works

- 8.12 Requirements on the engagement of consultants and contractors to undertake the construction works will be specified in the Grant Agreement.

Recruitment

- 8.13 Project staff engaged in approved projects should be recruited through an open and fair procedure.

Progress and Financial Reports

- 8.14 Grant recipients will be required to submit progress reports and financial statements half-yearly. For projects lasting six months or less, the grant recipients are required to submit a progress report three months after the start of the project. Depending on the amount of grant approved, either a certified financial statement or an audited account should also be made available to the URF within four months of the completion of the project (see paragraph 9.3 below). In addition, projects in receipt of grants in excess of \$500,000 each will be required to submit an annual audited account.

9. WHAT ARE THE OBLIGATIONS OF THE GRANT RECIPIENTS

Monitoring Mechanism

- 9.1 While grant recipients should be allowed reasonable flexibility in the management of resources, they should ensure that project objectives are achieved, their obligations are fulfilled and that the grants are disbursed according to the terms and conditions of the grant agreement.
- 9.2 An applicant should set out in the application form the criteria for benchmarking the effectiveness of the project. It should also specify the methodology used to gauge and demonstrate the effectiveness of the project. The focus should be on the outcome and impact of the project, and these should be measured quantifiably as far as possible.

Regular and Final Reports

- 9.3 Grant recipients will be required to submit the following reports-
- (i) a progress report for projects lasting six months or less (to be submitted three months after the start of a project);
 - (ii) half-yearly progress reports and financial statements (to be submitted within one month following the end of the six-month period);
 - (iii) a final evaluation and financial report (to be submitted within four months following the agreed project completion date);
 - (iv) a certified financial statement for grants of less than \$50,000 (to be submitted within four months following the agreed project completion date);
 - (v) an audited account for grants of \$50,000 and above (to be submitted within four months following the agreed project completion date); and
 - (vi) an annual audited account for grants of more than \$500,000 (to be submitted within four months following the end of financial year of the grant recipient).

Audited Account

- 9.4 For grants of \$50,000 and above, each grant recipient will be required to submit an audited account. The account must contain the Auditor's Report (including an assurance that the funding has been spent in accordance with the conditions of grant), Balance Sheet, Income and Expenditure Statement, Cash Flow Statement and Notes to Accounts. Each account should be audited by a certified public accountant.
- 9.5 For grants of more than \$500,000, each grant recipient will be required to submit an annual audited account. The account should be submitted within four months following the end of financial year of the grant recipient, and the last audited account of the project should be submitted within four months after the completion of the project.
- 9.6 Should the project not be audited separately, but rather as part of the annual audit of the grant recipient, the grant of the Funding Scheme should be shown as a separate item in the audited account.

Meeting / Visit

- 9.7 Meetings with grant recipients or visits to projects may be arranged for the Board Directors of the URF as and when necessary.

Forum

- 9.8 The URF may hold public forums from time to time to allow grant recipients to share their experiences in implementing successful projects so as to encourage best practices. Grant recipients may be required to attend and participate in these forums.

10.WHO SHOULD THE APPLICANTS APPROACH FOR ASSISTANCE DURING THE APPLICATION PROCESS?

10.1 You may contact the Secretariat of the URF at the following address for general enquiries regarding the Funding Scheme and for assistance in completing the application form.

Address	: Unit 1012, 10/F, Tower 2, Cheung Sha Wan Plaza, 833 Cheung Sha Wan Road, Kowloon, Hong Kong
Contact Tel	: 3752 2723
Fax No	: 3426 4643
Email Address	: urfunds@urfund.org.hk
Website	: http://www.urfund.org.hk

11.NOTES ABOUT PERSONAL DATA OF APPLICANTS

Purposes of Collection

11.1 The personal data provided as part of the application process will be used by the URF to process the application, and to conduct research and surveys. The provision of personal data by means of this application is voluntary. However, if you do not provide sufficient information, we may not be able to process your application.

Classes of Transferees

11.2 The personal data provided by means of application to the Funding Scheme may be disclosed to other organizations for the purposes mentioned above. However, in the interest of transparency of the operations of the URF, by signing and submitting an application, an applicant consents to the disclosure of details of the project to the public.

Access to Personal Data

11.3 Applicants will have the right of access and correction with respect to personal data as provided for in Section 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance, Cap.486. The applicant’s right of access includes the right to

obtain a copy of the personal data provided in the application.

Enquiries

11.4 Enquiries concerning the personal data collected by means of application to the URF, including the provision of access and making of corrections, should be addressed to the Secretariat of the URF:

Address	: Unit 1012, 10/F, Tower 2, Cheung Sha Wan Plaza, 833 Cheung Sha Wan Road, Kowloon, Hong Kong
Contact Tel	: 3752 2723
Fax No	: 3426 4643
Email Address	: urfunds@urfund.org.hk
Website	: http://www.urfund.org.hk

12. The URF reserves its right to amend the terms of the Application Guidelines contained herein in whatever manner it deems appropriate (including and without limiting to deleting or changing any existing terms and adding new terms) without giving any reason or explanation and without incurring any legal liability in respect of the same.

ANNEXES

Annex 1 - Notes for Submission and Application Form

(For Official Use Only)

Application No.:

Date of Receipt:

Urban Renewal Fund
Urban Renewal Heritage Preservation and District Revitalisation
Funding Scheme

Notes for Submission of Application Form

1. Interested organizations are welcome to apply for grants under the Urban Renewal Fund’s (URF) Urban Renewal Heritage Preservation and District Revitalisation Funding Scheme (the “Funding Scheme”). The URF will only consider applications which meet the criteria and requirements as stated in Parts 3 to 6 of the Application Guidelines (the Guidelines) of the Funding Scheme.
2. A duly completed and signed application form together with details of the proposed heritage preservation or district revitalisation project specified in the application form shall be put in sealed envelope marked “Confidential” and “Application for Urban Renewal Heritage Preservation and District Revitalisation Funding Scheme” and sent by mail or by hand to the Urban Renewal Fund at Unit 1012, 10/F, Tower 2, Cheung Sha Wan Plaza, 833 Cheung Sha Wan Road, Kowloon.
3. Applicants shall be responsible for the accuracy of the information provided. Upon receipt of an application form, the URF shall verify the information to confirm whether the applicant can satisfy all the application criteria and requirements. Applicants shall give consent to the URF to solicit verbal or written confirmation of all information on the application form from third parties and other sources.
4. The signing of this application form indicates that an applicant has already read, understood and agreed with the declaration in Section III of this application form. Applicants shall declare to the URF in this application form any interest where there may be real or apparent conflict, direct or indirect, during the application process with respect to the project.

5. By submission of this application, applicants are deemed to have accepted all the terms stated in this application form and the Application Guidelines.
6. The relevant intellectual property rights derived from the project shall belong to the applicant. The successful applicant shall grant unconditionally to the URF the right to use the images, visuals and information of the project in its corporate venues, including but not limited to the following: publications, website and videos for its corporate communication purposes only.
7. The provision of personal data by means of submission of this application form is voluntary. However, if you do not provide sufficient information, we may not be able to process your application. The information provided in this application form will be used by the URF to process this application. Enquiries concerning the personal data collected in this process by the applicant should be made in writing to the URF.
8. Successful applicants are required to commit to ethical practices. To this end, the successful applicants, their employees or agents should be prohibited from soliciting or accepting advantages in relation to the project. Successful applicants should be required to adopt good practices in relation to the project, including adopting fair and competitive means for procurement of goods and services and recruitment of personnel. Successful applicants are required to avoid and declare conflict of interest to the URF in using the grant allocated to them.

Section I: Particulars of Applicant <input type="checkbox"/> Organization <input type="checkbox"/> Company <input type="checkbox"/> Individual	
Name (English)	
(Chinese)	
Registered Address	
Correspondence Address (if different from above)	
Contact Person (English)	(Chinese)
Title of Contact Person	Telephone Number
E-mail	Fax
<p>Certified true copies of registration document submitted together with this application: (Please tick as appropriate)</p> <input type="checkbox"/> a company incorporated under the Companies Ordinance <input type="checkbox"/> a society registered under the Societies Ordinance <input type="checkbox"/> a school registered under the Education Ordinance <input type="checkbox"/> proof of exemption from tax under Section 88 of Inland Revenue Ordinance <input type="checkbox"/> Others (please specify)	

Section II: Details of the Project	
<input type="checkbox"/> Thematic Project <input type="checkbox"/> Non-thematic Project	
Project Title (English) (Chinese)	
Project Nature and Target Groups	
Objectives	
Grant Applied under the Funding Scheme	
Please indicate whether the project is currently receiving a grant from any Government fund or private sponsorship (in kind or in cash) If yes, please provide details (e.g., amount of grant, name of fund, items supported by the fund)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please indicate whether the project is the subject of a separate application for Government or any other form of private funding. If yes, please provide details (e.g., name of the fund, amount sought, progress of application).	<input type="checkbox"/> Yes <input type="checkbox"/> No

Section II (Continued): Details of the Project	
Project Details	<p>(a) Project contents (including objectives, timeframe with milestones, venues, target audience, number of participants, partner organizations, whether open to the public and income generating)</p> <p>(b) Implementation Plan</p> <p>(c) Promotion Plan</p> <p>(d) Expected outputs and outcomes</p> <p>(e) Method to demonstrate/measure project effectiveness</p> <p>(f) Total estimated expenditures with breakdown</p> <p>(g) Total estimated incomes</p> <p>(h) Key team members for implementing this project</p> <p>(i) Please elaborate how this project:</p> <ul style="list-style-type: none"> • reflects the objectives of the Funding Scheme • brings benefits to the community • addresses the issues of practicality, viability and legality <p>(j) Please confirm if licenses are required for the project (applicants must demonstrate their ability to obtain these licenses)</p>
Past Experience	The applicant's past experience and track record in organizing/implementing similar projects in Hong Kong
Declaration of Interest	<p>The applicant must declare to the URF any interest where there may be real or apparent conflict, direct or indirect, with any of the activities performed by the applicant during the application process:</p> <p>Yes / Nil (Please tick or delete as appropriate)</p> <p>If yes, please provide the details:</p>

Section III: Declaration and Signature

1. I/We have read and fully understand the contents of the Application Guidelines and this application form before submitting this application.
2. I/We confirm that all the information provided herein is true and correct. Should there be any changes to the information provided after the submission of this form, I/we shall inform the URF in writing at once.
3. I/We agree to give consent to the URF, in assessing my/our application, to solicit verbal or written confirmation of all information on this form from third parties or other sources so as to verify if the information provided are true or not, and to base upon such to process the related application.
4. I/We agree to provide such other information or supporting documents as the URF may require in processing this application.
5. I/We also agree that this application form and all supporting documents provided by me/us in relation to this application will not be returned to me/us irrespective of whether this application is successful or not.
6. I/We agree that should this application be successfully accepted, I/we shall sign a grant agreement in a prescribed format specified by the URF.
7. I/We fully understand and agree that the URF reserves the right to decline this application at any stage and the URF shall not be liable to any person for doing so.
8. I/We shall declare to the URF in this application form any interest where there may be real or apparent conflict, direct or indirect, during the application process with respect to the Project.
9. I/We agree that should this application be successfully accepted, I/we shall grant unconditionally to the URF the right to use the images, visuals and information of my/our project in its corporate venues, including but not limited to the following: publications, website, videos for its corporate communication purposes only.

Declaration by the Applicant

Name of Applicant:	
Signed by: (Authorized Signature with Company Chop)	
Name of Signatory:	
Title:	
Date:	

Declaration by the Warrantor (In the case of individual applicant)

I hereby certify that the information given in this application is true, accurate and complete.

Name of Warrantor:	
Signature of Warrantor:	
Relationship with the Applicant:	
Contact Telephone Number:	
Date:	

Annex 2 - Assessment Criteria for the Funding Scheme Applications

❖	Achievement of objectives of the Funding Scheme	30%
❖	Appropriate programme plan and community participation	20%
❖	Effectiveness of the project	20%
❖	Applicant's track record and capability	20%
❖	Additional factors such as extent of collaboration with other community sectors and groups, and innovation	10%

Annex 3 - Expression of Interest for Application

An expression of interest will contain the following information with regard to the proposed project:

- (a) Thematic project or Non-thematic project
- (b) Name of the proposed project
- (c) Objectives of the proposed project and how they relate to the objectives of the Funding Scheme
- (d) Project nature and target groups
- (e) Initial plan on specific activities or programmes
- (f) Initial plan on project deliverables