



零售業人力需求管理科技應用支援計劃  
Retail Technology Adoption Assistance Scheme  
*for Manpower Demand Management*

# **Guide to Application for Retail Technology Adoption Assistance Scheme for Manpower Demand Management (ReTAAS)**

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## **1. General**

### **1.1 Background**

1.1.1 In the Budget Speech delivered in February 2014, the Financial Secretary announced the Government's acceptance of the recommendations of the Task Force on Manpower Development of the Retail Industry. One of the recommendations is the establishment of an industry support scheme, with dollar-to-dollar matching contribution from participating companies to help the retail industry adopt technologies to manage manpower demand.

1.1.2 Following the funding approval of the Finance Committee of the Legislative Council in July 2014, the Retail Technology Adoption Assistance Scheme for Manpower Demand Management ("ReTAAS") was set up in December 2014.

### **1.2 Objectives**

ReTAAS provides funding support for eligible retail enterprises (in particular small and medium-sized enterprises) to adopt information and communications technology and other technologies that help manage manpower demand, enhance productivity and improve employees' working conditions.

### **1.3 Funding Principles**

1.3.1 The Government has set aside \$50 million for ReTAAS<sup>1</sup> to support the implementation of projects that are consistent with the objectives of ReTAAS.

1.3.2 Where an application for ReTAAS is successful, the Government will fund a maximum of 50% of the total approved project cost, or \$50,000, whichever is lower. The Applicant is required to contribute no less than 50% of the total approved cost of a project in cash. In other words, Government grant is provided on a matching basis. Up to two projects from a single Applicant may be approved, subject to a cumulative ceiling of funding support of \$50,000.

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<sup>1</sup> Of the \$50 million, about \$5 million is earmarked for administrative overheads.

## 1.4 ReTAAS' Secretariat

The Hong Kong Productivity Council (“HKPC”) is the implementation partner of ReTAAS and serves as the ReTAAS' Secretariat (“Secretariat”). It is responsible for handling enquiries, processing applications, supporting the Vetting Committee (“VC”), monitoring project implementation and disbursing funding to Grantees.

## 1.5 Purpose of the Guide

The Guide to Application for ReTAAS (“Guide”)<sup>2</sup> provides details on the application requirements under ReTAAS, including eligibility criteria, application procedures, vetting criteria and funding terms and conditions.

# 2. Eligibility Criteria

## 2.1 Eligible Applicants

2.1.1 Non-listed enterprises<sup>3</sup> registered in Hong Kong under the Business Registration Ordinance (Chapter 310) with substantive retail business in Hong Kong are eligible to apply, irrespective of their number of outlets. Retail chain stores or companies running under franchise are not excluded per se, but only the enterprises that have control over them (i.e. equivalent to headquarters or franchisors) may apply as one Applicant for the whole group<sup>4</sup>.

2.1.2 Related enterprises, i.e. enterprises registered as different companies under the Business Registration Ordinance (Chapter 310) with the same individual(s) holding 30% or more ownership, would be treated as one single enterprise for the purpose of calculating the cumulative funding amount (i.e. subject to cumulative funding ceiling of \$50,000). Applicants are required to declare in their applications as to whether any of their related enterprises have applied for or received funding support under ReTAAS at the time of application.

## 2.2 Eligible Projects

2.2.1 Projects which involve adoption of information and communications technology and other technologies<sup>3</sup> to help manage manpower demand, enhance productivity and improve employees' working conditions in the retail industry are eligible for

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<sup>2</sup> [http://www.retaas.hkpc.org/en/application\\_process.aspx#guide](http://www.retaas.hkpc.org/en/application_process.aspx#guide)

<sup>3</sup> Subsidiaries of listed enterprises may be eligible to apply for funding under ReTAAS if they are non-listed.

<sup>4</sup> In other words, individual stores or franchisees may not apply on their own.

ReTAAS. Other projects, e.g. those solely for promoting the business of the enterprises concerned, will not be considered. Project should normally be completed within six months.

2.2.2 A list of technology solutions which are commonly funded or which may be funded under ReTAAS is provided on ReTAAS' website<sup>5</sup>. Technology solutions not pre-listed will also be considered on an individual basis.

2.2.3 Projects (or parts of them) that are or will be funded by other government sources, or other sources of sponsorships/donations will not be considered under ReTAAS. Applicants are required to declare in their applications as to whether the proposed projects (including any parts thereof) are or will be funded by other funding sources at the time of application.

### **3. Application**

#### **3.1 Application Procedure**

3.1.1 Applications are accepted all year round and processed on a rolling basis. Applications with incomplete information, e.g. without soft copy or printed copy or missing supporting documents, will not be processed until the completed set of documents is received. Up to two applications from a single Applicant may be considered (subject to cumulative ceiling of funding support of \$50,000).

3.1.2 To apply for funding under ReTAAS, the Applicant should complete the Application Form, which can be obtained from the Secretariat or downloaded from the ReTAAS' website<sup>6</sup>. The Application Form is available in both English and Chinese, which may be completed either in English or in Chinese. No application fee is charged. The Guide and frequently asked questions<sup>7</sup> are also available on ReTAAS' website.

3.1.3 The Applicant should submit one Application Form for each proposed project. When submitting an application, the Applicant is required to provide the following documents to the Secretariat:

- (i) duly completed and signed Application Form, in both hard and soft copies

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<sup>5</sup> [https://www.retaas.hkpc.org/tc/download/ReTAAS-technologies-2019\\_v4\\_low.pdf](https://www.retaas.hkpc.org/tc/download/ReTAAS-technologies-2019_v4_low.pdf)

<sup>6</sup> [http://www.retaas.hkpc.org/en/application\\_process.aspx#appform](http://www.retaas.hkpc.org/en/application_process.aspx#appform)

<sup>7</sup> <http://www.retaas.hkpc.org/en/faq.aspx>

*(preferably in MS Word format);*

- (ii) copy of the Applicant's Business Registration Certificate;
- (iii) documentary evidence demonstrating the Applicant's substantive retail business operations in Hong Kong<sup>8</sup>; and
- (iv) documentary evidence showing the personal details of the owners/shareholders holding 30% or more ownership, such as Form 1(a) of the Business Registration Office, Annual Return of the Companies Registry (Form AR1), etc.

The original copies of the above supporting documents may be required for verification.

3.1.4 As part of the completed Application Form, the Applicant is required to provide a detailed budget proposal with itemised cost breakdown. Only direct costs incurred for the proposed project will be considered. As a matter of principle, ReTAAS funding cannot be used to subsidise the normal operating expenses of the Applicant. Daily or routine operating expenses of the Applicant (e.g. salary of existing employee(s), general administrative and office expenses, etc.) will not be funded. Other typically unallowable costs include office rental/renovation expenses, utility expenses, office stationery, etc.

3.1.5 The completed Application Form together with supporting documents should be sent to the Secretariat by post or by email:

- (i) By post in envelope marked "ReTAAS Application" to: *ReTAAS Secretariat, HKPC Building, 78 Tat Chee Avenue, Kowloon, Hong Kong.*
- (ii) By email to: *retaas\_sec@hkpc.org.*

3.1.6 The Applicant is required to maintain a valid email account to maintain communication with the Secretariat. The Secretariat will acknowledge receipt of an application by an email to the Applicant.

## 3.2 Re-submission

A rejected application may be resubmitted only if its content has been revised substantially or if it is supported by new supplementary information to address the comments made by the VC and/or the Secretariat. A re-submitted application will be treated as a new application and will be subject to the same vetting procedure.

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<sup>8</sup> Documentary evidence may include, but are not limited to employees' employment records, tax returns and business transaction documents, such as business contracts and invoices.

### 3.3 **Withdrawal**

The Applicant can write to the Secretariat to withdraw an application at any time before signing the Funding Agreement. Such withdrawal is irrevocable.

## 4. **Vetting and Approval Procedures**

### 4.1 **Vetting Procedure**

4.1.1 The Secretariat will conduct a preliminary screening of each application, and may seek clarification or supplementary information from the Applicant. After screening, the Secretariat will submit the application together with its comments to the VC for consideration. The VC will consider the applications, and approve (with or without condition(s)) such or otherwise.

### 4.2 **Avoidance of Conflict of Interest** (This section applies to the VC Members and Secretariat staff)

4.2.1 To avoid conflict of interests, the VC Members (including the Chairperson and Vice-Chairperson) and Secretariat staff will be required to declare their general pecuniary interests and actual, potential or perceived conflicts of interest that may arise from particular applications. Where considered appropriate, the VC Members and/or Secretariat staff may be requested to refrain from discussing, considering or processing the application.

4.2.2 Applicants must not approach the VC Members regarding their applications to avoid affecting the latter's impartiality.

### 4.3 **Vetting Criteria**

4.3.1 All applications are considered by the VC based on the merits of individual applications. The main vetting criteria include:

- (i) eligibility of the Applicant;
- (ii) effectiveness of the proposed project in managing retail manpower demand, enhancing productivity and improving employees' working conditions. A proposed project may be approved if it has reasonable prospects of achieving manpower savings or addressing the relevant problem the Applicant is facing



or will face in the foreseeable future, e.g. refining the workflow to ease the workload of employees;

- (iii) reasonableness of the proposed project cost, with reference to the market prices of the technology solutions in question as known to the VC or the Secretariat. The total approved project cost must be proportionate to the benefits expected. Expenditure of individual items must be directly related to the implementation of the proposed project;
- (iv) practicality of the proposed implementation programme. Whether the proposed project can reasonably be completed within six months; and whether the employee(s) concerned can handle the technology solutions or will be given sufficient training; and
- (v) room for wider adoption of the proposed technology solutions in the local retail industry.

4.3.2 If a proposed project is considered worthy of support in principle, the level of approved funding may be adjusted by the VC.

4.3.3 The Secretariat reserves the right to reject an application on grounds including:

- (i) a petition is presented, a proceeding is commenced, an order is made, a resolution is passed for the winding up or bankruptcy of the Applicant;
- (ii) a false, inaccurate or incomplete statement or representation is contained in the application, a promise or a proposal is made knowingly or recklessly; or
- (iii) the Applicant is in default of its obligation(s) under another grant agreement entered into with the Secretariat or the Government whether or not in relation to ReTAAS.

#### 4.4 Notification of Result

4.4.1 The Secretariat will notify the Applicant of the vetting result within 50 to 90 working days after the Secretariat receives completed application with full information.

4.4.2 If an application is approved by the VC, the Applicant will be informed of the result together with terms and conditions that have been imposed by the VC (if

any), in addition to the standard terms and conditions.

4.4.3 If an application is rejected by the VC, the Secretariat will inform the Applicant of the reasons for the decision. Please refer to paragraph 3.2 for details on re-submission.

## 4.5 **Review**

4.5.1 In case of dispute over the vetting result, the Applicant may request a review in writing to the Secretariat within 30 working days after the notification of the result. The Applicant is required to provide full justifications in writing with supplementary information as appropriate to substantiate the request for review.

4.5.2 The Secretariat will arrange a review of the application by the VC. The Applicant will be informed of the review result within 30 working days after the VC has made a decision.

## 5. **Funding Agreement**

### 5.1 **Submission of Quotations**

5.1.1. Before entering into a Funding Agreement with HKPC, a successful Applicant must submit the requisite number of quotations to the Secretariat within one month upon notification of the vetting result. The procurement procedures are detailed in Section 7 of the Guide.

### 5.2 **Funding Agreement**

5.2.1 The successful applicant will be required to enter into a Funding Agreement with HKPC. The successful Applicant will be referred to as Grantee below.

## 6. Disbursement of Funds

6.1 Government funding under ReTAAS is disbursed by the Secretariat. Grantees may choose one of the options below for disbursement of the approved project grant:

Option	Fund Disbursement Arrangement	No. of Instalments	Initial Payment <sup>#</sup>	Final Payment
(A)	Initial Payment Arrangement	2	After the Funding Agreement has been signed, and before commencement of the project, up to 50% of the approved project grant may be disbursed to the Grantee (see para. 6.1.1)	Upon completion of the project, (i) the remaining balance of the approved project grant; or (ii) the 50% of the actual project expenditure, <i>minus</i> the amount of the disbursed initial payment, whichever is lower, may be disbursed to the Grantee (see para. 6.1.2)
(B)	Reimbursement Payment Arrangement	1	Not Applicable	Upon completion of the project, (i) the total amount of the approved project grant; or (ii) the 50% of the actual project expenditure, whichever is lower (see para. 6.1.4)

<sup>#</sup> The amount of interest generated from the initial payment during the project implementation period will not be taken into account when calculating the remaining balance of the approved project grant. In short, the initial payment is provided on an interest-free basis.

### Initial Payment Arrangement

6.1.1 If the Grantee **opts to receive** the approved grant under the Initial Payment Arrangement, the Secretariat will release an initial payment up to 50% of the approved grant to the Grantee before the commencement of the project after the Grantee has entered into a Funding Agreement with HKPC, subject to documentary evidence from the Grantee showing that the Grantee has:

- (i) designated a Project Account (defined in paragraph 8.4.1) for the purpose of processing and transacting all receipts and payments under the project; and
- (ii) deposited an amount equivalent to that of the initial payment into the Project Account to show readiness of the Grantee to shoulder its own part of the project cost. This is in line with the funding principle that Government grant is provided on a matching basis.

6.1.2 Upon the Grantee's completion of the approved project, the Secretariat will release (i) the remaining balance of the approved project grant; or (ii) the 50% of the actual project expenditure, *minus* the amount of the disbursed initial payment, whichever is lower, to the Grantee. The remaining balance will be disbursed within 30 working days after the Grantee has met the following conditions to the satisfaction of the Secretariat :

- (i) successful completion of the approved project in accordance with the approved project proposal specified in the Funding Agreement;
- (ii) due compliance with the Funding Agreement;
- (iii) submission of Completion Report and Audited Accounts of the project in compliance with the requirements set out in Section 8 of the Guide;
- (iv) provision of documentary evidence showing that the Grantee has fully settled all project expenses; and
- (v) provision of documentary evidence showing that the Grantee has contributed an amount equivalent to at least 50% of the total eligible project cost.

6.1.3 If the Grantee fails to comply with the terms and conditions stipulated in the Funding Agreement, the Grantee will be required to return the initial payment in whole or in part to the Secretariat.

### **Reimbursement Payment Arrangement**

6.1.4 If the Grantee **does not opt** for the Initial Payment Arrangement, the Secretariat will disburse (i) the total amount of the approved project grant; or (ii) the 50% of the actual project expenditure, whichever is lower, to the Grantee on a reimbursement basis. The fund disbursement will be made after completion of the project, and within 30 working days after the Grantee has met the following conditions to the satisfaction of the Secretariat:

- (i) successful completion of the approved project in accordance with the approved project proposal specified in the Funding Agreement;
- (ii) due compliance with the Funding Agreement;
- (iii) submission of Completion Report and Audited Accounts of the project in compliance with the requirements set out in Section 8 of the Guide;
- (iv) provision of documentary evidence showing that the Grantee has fully settled all project expenses; and
- (v) provision of documentary evidence showing that the Grantee has contributed an amount equivalent to at least 50% of the total eligible project cost.

6.1.5 The Secretariat reserves the right to withhold disbursement of the whole or any part of the funding to a Grantee if the Grantee fails to comply with the terms and conditions stipulated in the Funding Agreement. Under such circumstances, the Secretariat will inform the Grantee of the reason for withholding payment.

6.1.6 The Grantee is not entitled to charge any interest or claim any compensation or relief of whatsoever nature against the Secretariat, VC or Government in the event of any late or withholding of payment of funding under ReTAAS by the Secretariat.

## **7. Procurement**

### **7.1 Procurement Procedure**

7.1.1 The Grantee is required to exercise utmost prudence in the procurement of equipment, goods or services for the project and must adhere to the following procurement procedures unless the Secretariat agrees otherwise in writing in advance:

7.1.2 For every purchase or lease of the equipment, goods or services in relation to or for the purposes of the project, the aggregate value of which does not exceed HK\$50,000, the Grantee should invite at least two suppliers/service providers/consultants/contractors/lessors for written quotations and accept the lowest conforming bid. Full justifications must be given if fewer than two suppliers/service providers/consultants/contractors/lessors are identified. If the lowest conforming quotation is not selected, prior written consent must be obtained from the Secretariat and full justifications must be given.

7.1.3 For every purchase or lease of the equipment, goods or services in relation to or for the purposes of the project, the aggregate value of which is over HK\$50,000 but does not exceed HK\$300,000, the Grantee should invite at least three suppliers/service providers/consultants/contractors/lessors for written quotations and accept the lowest conforming bid. Full justifications must be given if fewer than three suppliers/service providers/consultants/contractors/lessors are identified. If the lowest conforming quotation is not selected, prior written consent must be obtained from the Secretariat and full justifications must be given.

7.1.4 For every purchase or lease of the equipment, goods or services in relation to or for the purposes of the project, the aggregate value of which is over HK\$300,000

but does not exceed HK\$1.4 million, the Grantee should invite at least five suppliers/service providers/consultants/contractors/lessors for written quotations and accept the lowest conforming bid. Full justifications must be given if fewer than five suppliers/service providers/consultants/contractors/lessors are identified. If the lowest conforming quotation is not selected, prior written consent must be obtained from the Secretariat and full justifications must be given.

7.1.5 For every purchase or lease of the equipment, goods or services in relation to or for the purposes of the project, the aggregate value of which exceeds HK\$1.4 million, the Grantee should adopt open and competitive tendering procedures and accept the lowest conforming bid. The Grantee should make use of the public channels that are easily accessible by the general public to publicise the tender notices. If the lowest conforming bid is not selected, prior written consent must be obtained from the Secretariat and full justifications must be given.

7.1.6 Unless prior written approval from the Secretariat is obtained, the Grantee or any person authorised by the Grantee to call for or in any way involved in the quotation or tender exercise must not participate in the bid itself.

7.1.7 Samples of quotation invitation document/form are at **Annex A**. For tenders to be invited under paragraph 7.1.5 above, the Secretariat will advise on the details separately.

7.1.8 The Grantee must abide by the principles of openness, fairness and competitiveness throughout the procurement process and in the appointment of vendors. The Grantee should provide full justifications for shortlisting vendors or awarding contracts, including but not limited to information relating to the company profile, year founded, number of staff, core business, area of specialty and job references of vendors involved upon the request of the Secretariat. The Secretariat reserves the right to eliminate prima facie irrelevant or unqualified vendors and request the Grantee to go through the procurement process again.

7.1.9 Once the procurement process is completed, the Grantee should send copies of the relevant documents to the Secretariat.

7.1.10 A list of potential suppliers is available at ReTAAS' website<sup>9</sup> for reference only. The list does not include all service providers. Applicants can choose any suitable service providers. The use of the service providers will not guarantee successful

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<sup>9</sup> [https://www.retaas.hkpc.org/en/application\\_process.aspx#service\\_providers](https://www.retaas.hkpc.org/en/application_process.aspx#service_providers)  
(Version: March 2020)

application. The Secretariat has not appointed or endorsed any companies or organisations to provide services in relation to ReTAAS and each application will be considered by the VC based on its own merits.

## 7.2 **Avoidance of Conflict of Interest** (This section applies to Grantees.)

The Grantee should not engage a supplier/service provider/consultant/contractor/lessor with same or shared owners, shareholders, management as the Grantee enterprise for implementing an approved project.

## 7.3 **Segregation of Duties**

The Grantee must use reasonable endeavours to segregate the duties in the procurement process for implementing the approved project (including the assignment of different staff to source suppliers/service providers/consultants/contractors/lessors for inviting quotations or tenders, approve quotations or tenders, and certify receipts or completion of the equipment, goods or services procured under ReTAAS). Moreover, the acceptance of an offer can only be approved by another staff not lower in rank than the staff inviting the quotations or tenders.

## 7.4 **Handling of Cash Payment**

7.4.1 Subject to paragraph 7.4.2 below, the Grantee should procure or lease the equipment, goods or services for the project through non-cash methods such as credit card, cheque, bank transfer and etc. However, the Grantee may procure items in cash to meet immediate needs, provided that (a) the total value of any single transaction of the equipment, goods or services must not exceed HK\$5,000 each; (b) the transaction should be reasonably necessary for the discharge of the obligations and duties owed by the Grantee under the Funding Agreement; (c) the rates obtained are reasonable; and (d) an authorised officer of the Grantee has certified that the above requirements are satisfied in writing in the Completion Report.

7.4.2 For the avoidance of doubt, any single transaction by the Grantee with a total value exceeding HK\$5,000 must not be made in cash without prior written approval from the Secretariat.

## **8. Reporting and Auditing Requirements**

### **8.1 Completion Report**

8.1.1 Project should normally be completed within six months from the date of signing the Funding Agreement.

8.1.2 The Grantee is required to submit a Completion Report to the Secretariat within two months upon completion of the project, a sample of which is at **Annex B**, including but not limited to the following items:

- (i) a summary of technology solutions adopted;
- (ii) a statement as to any deviation from the approved project proposal; and
- (iii) benefits achieved under the project so far.

8.1.3 The Secretariat will review and evaluate the project results by comparing the actual deliverables reported against the project's original objectives and deliverables as set out in the approved project proposal appended to the Funding Agreement. The Grantee should immediately provide clarification and/or additional information upon request of the Secretariat. The Secretariat may conduct on-site checking to verify the project results. The Secretariat has the right to access to any information related to the project.

### **8.2 Audited Accounts**

8.2.1 The Grantee is required to submit the Audited Accounts covering the period from the project commencement date to project completion date or the expiry or termination date of the Funding Agreement, together with the Completion Report as set out under paragraph 8.1. within two months upon completion of the project, or the expiry or termination of the Funding Agreement (whichever is earlier) or by such other date as specified by the Secretariat.

8.2.2 The Audited Accounts should contain all receipts and receivables, including ReTAAS funding and the Grantee's contribution and payments for the project. The Audited Accounts should also comprise a Statement of Income and Expenditure, Notes to the Accounts and the Auditors' Report. The accounts of a project must be properly prepared from and in agreement with the books and records of the project.

8.2.3 Late submission of the Audited Accounts may lead to suspension or termination of the funding support for the project.



8.2.4 Any record of mishandling of public funds or lack of discipline in financial management or any breach of the Funding Agreement by a Grantee will be taken into account by the VC and the Secretariat in considering future applications from the same enterprise. Any such record may prejudice that enterprise's future applications under ReTAAS.

### 8.3 Auditing Requirements

8.3.1 To ensure that the project funds have been solely and properly applied to the projects and expended/received in accordance with the approved project budget, the Audited Accounts should be audited by an independent auditor who must either be a Certified Public Accountant or a Public Accountant registered under the Professional Accountants Ordinance (Chapter 50) (the Auditors). The grantee should specify in the engagement letter for the employment of the auditor that he/she must strictly follow the requirements stipulated in the latest version of the "Notes for Auditors of Funded Enterprises" ("Notes")<sup>10</sup> issued by the Secretariat in conducting audits and preparing auditors' report for each project. The engagement letter should also specify that the Secretariat, Government and their authorised representatives have the right to communicate with the auditor on matters concerning the project and the supporting statements. In conducting the audits, the Auditors must comply with the relevant Standards and Statements of Professional Ethics issued and updated from time to time by the Hong Kong Institute of Certified Public Accountants. In the Audited Accounts, the Auditors are required to express an audit opinion as to whether the Grantee and the accountants of the project have complied, in all material respects, with all the requirements set out in the Notes and to make full disclosure of any material non-compliance.

8.3.2 The Grantee may be reimbursed in full for the cost of preparing Audited Accounts for each project, subject to a cap of \$2,000 for each project and the cap of \$50,000 in total funding support for each enterprise under ReTAAS. The Grantee should provide the invoice to the Secretariat upon submission of the Audited Accounts for processing the reimbursement.

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<sup>10</sup> [https://www.retaas.hkpc.org/en/download/ReTAAS\\_notes-for-auditors.pdf](https://www.retaas.hkpc.org/en/download/ReTAAS_notes-for-auditors.pdf)

## 8.4 Books and Records

- 8.4.1 If the Grantee **opts to receive initial payment**, the Grantee is required to designate a risk-free Hong Kong dollar bank account (“Project Account”) under its name with a licensed bank registered under the Banking Ordinance (Cap. 155) for the purpose of processing and transacting all receipts and payments of the project. All project funds (i.e. funding disbursed by the Secretariat under ReTAAS and cash contribution by the Grantee) should be deposited into the Project Account. All project payments must be paid out from the Project Account. All project funds must be kept in the Project Account by the Grantee until such funds are spent (or paid) in compliance with the Funding Agreement or returned to the Secretariat by the Grantee in accordance with the Funding Agreement.
- 8.4.2 Accrual basis of accounting should be adopted for the project. Expenditure can only be charged to the Project Account after the equipment and goods have been received or services delivered. Moreover, the expenditure so charged must be incurred within the project duration only and should be fully settled within two months upon completion of the project. All receipts and expenditure of the project, including the ReTAAS funding and the Grantee’s contribution, should be fully and properly recorded in the books and records in accordance with the Funding Agreement, and all requirements, instructions and correspondences issued by the Secretariat in respect of the project (if any).
- 8.4.3 If the Grantee **opts not to receive initial payment**, the Grantee is not required to designate a bank account for the purpose of processing and transacting receipts and payments of the project. However, the Grantee is required to keep a proper and separate set of books and records for the project.
- 8.4.4 Regardless of whether the initial payment arrangement or the reimbursement payment arrangement is adopted, the Grantee should maintain the books and records in such a manner so as to enable the production of the Statement of Income and Expenditure (items in the same format as shown in the approved project budget) in respect of each project. All transactions relating to the project should be properly and timely recorded in its books of accounts. The Grantee is required to maintain, during the continuance of the Funding Agreement and for a minimum of seven years after the completion of the project or the expiry or termination of the Funding Agreement (whichever is earlier), full and proper books of accounts and records of the project (including receipts, counterfoils, vouchers, quotations and tendering documents and other supporting documents). In this connection, the Secretariat, Government and their authorised representatives are allowed access to all or any of the books and records for conducting audit, inspection, verification

and copying from time to time upon reasonable notice of such books and records at any time when such books and records are kept. When so requested in this connection, the Grantee will be obliged to make available all project books of accounts and records and explain to the Secretariat, Government and their authorised representatives any matters relating to the receipt, expenditure or custody of any money derived from the project. The Secretariat, Government and their authorised representatives reserve the right to require the Grantee to return the mis-spent amount to the Secretariat, Government and their authorised representatives.

## **8.5 Others**

8.5.1 If so required by the Secretariat, the Grantee should make presentation(s) of the project outcome to the VC and report the implementation progress of the project deliverables.

8.5.2 The Secretariat may request the Grantee to complete and return a post-project evaluation questionnaire on the project achievement and the improvement/efficiency gained from the project.

## **9. Risk and Title to the Equipment, Software and other Assets**

- 9.1 The full legal and equitable title and interest in any piece of the equipment, software and other assets funded under ReTAAS must be vested with the Grantee.
- 9.2 The Grantee should maintain a register to account for all equipment purchased under ReTAAS.
- 9.3 The Grantee should keep all equipment, software and other assets funded under ReTAAS for at least one further year after project completion, and made available such equipment, etc. for the Secretariat's inspection upon request.
- 9.4 The Grantee must seek prior written approval from the Secretariat before it transfers, sells or disposes of the equipment, etc. before the date as specified in paragraph 9.3.
- 9.5 The risk in the equipment (e.g. loss, damages, liabilities, etc.) should also be borne by and remain with the Grantee.

## 10. On-site Monitoring

- 10.1 The Secretariat may visit the venue(s) where the project items should be installed or used at any time during the period from signing of the Funding Agreement up to one year after completion of the project, to ensure that the installation and use are compliant with the approved application. Such visits may be arranged with or without advance notice.
- 10.2 The Grantee must afford all reasonable assistance to enable the Secretariat to conduct the visits and access the computer system, software, application, etc. which are procured under ReTAAS, and produce relevant books and records as may be required.

## 11. Publicity and Acknowledgement

### 11.1 Participation in Publicity

Grantees will be required to participate in the publicity and promotional activities of ReTAAS by sharing their experience gained from the implementation of the approved projects under ReTAAS with other enterprises. They may be invited by the Secretariat or Government to participate in activities, such as seminars, workshops, conferences, exhibitions, etc., as well as site visits arranged by the Secretariat or Government. The Grantee will need to contribute inputs/materials for publication to share their experience when being requested by the Secretariat or Government. The Grantee cannot charge the Secretariat or the Government fees for participating in these activities or contributing such inputs/materials for publication.

### 11.2 Acknowledgement of Support and Disclaimer

11.2.1 The Grantee is allowed to publicise their participation in the project funded under ReTAAS and the project results on their own initiatives through publications, seminars, workshops, conferences, exhibitions, site visits, etc. with prior notice to the Secretariat. Acknowledgment of this funding support should appear on all equipment, publicity and at facilities and media events related to the project, as well as in publications arising from the project.

11.2.2 The following disclaimer should also be included in these publicity and media events related to the acknowledgement:

*“Any opinions, findings, conclusions or recommendations expressed in this material/event (or by the Grantee) do not reflect the views of the Government*

*of the Hong Kong Special Administrative Region, the Vetting Committee of the Retail Technologies Adoption Assistance Scheme for Manpower Demand Management or Hong Kong Productivity Council.”*

## **12. Miscellaneous**

### **12.1 Appointment of Project Coordinators**

The Grantee will be required to appoint a project coordinator who will be responsible for overseeing the implementation of the project, monitoring the proper use of funds in accordance with the approved project budget, terms and conditions of funding and Funding Agreement, exercising economy and prudence in the use of funds, liaising with the Secretariat and attending meetings on the project as necessary.

### **12.2 Prior Approval Requirements**

An approved project should be carried out in strict accordance with the Funding Agreement. Any modification, amendment or addition to the project or the Funding Agreement, including but not limited to change of project duration, project scope, budget or replacement of the project coordinator, require the prior written approval of the Secretariat. Reasons with supporting documents for the changes must be provided.

### **12.3 Suspension or Termination of Funding Support**

12.3.1 The Secretariat reserves the right to suspend or terminate, after consultation with the VC, funding support for a project. Circumstances which warrant suspension or termination of funding support may include lack of satisfactory progress or slim chance of completion of a project, failure to submit Completion Report and/or Audited Accounts within the stipulated deadlines, non-acceptance of the Completion Report and/or Audited Accounts by the Secretariat and Government, breach of the terms and conditions of the Funding Agreement, or the Secretariat and Government seeing fit to terminate the project in the public interest because of changing circumstance, etc.

12.3.2 In the event of suspension or termination of funding support for a project, the Grantee will be required to return all or part of the ReTAAS funding disbursed in respect of the project together with all administrative, legal and other costs (regardless of whether the Grantee has already spent the funds or not) within a time specified by the Secretariat.

12.3.3 Once a project is suspended or terminated, the Grantee will not be entitled to the receipt of ReTAAS funding. Any cost incurred in relation to the project after suspension or termination of ReTAAS funding will be solely borne by the Grantee itself.

## 12.4 Assignment

12.4.1 Unless prior written approval from the Secretariat is obtained, the Grantee must not assign, transfer, sub-contract or otherwise dispose of any or all of its interests, rights, benefits or obligations under the Funding Agreement.

12.4.2 The Grantee must seek the approval of the Secretariat before engaging the services of independent service providers of its own to assist it with its duties under the Funding Agreement, provided that the Grantee should:

- (i) not be relieved from any of its obligation and duties under the Funding Agreement by engaging any such independent service providers and should remain liable to the Secretariat for the performance of such obligations and duties;
- (ii) remain liable for any act or omission of any such independent service contractors as if such act or omission were its own; and
- (iii) secure binding obligations from all such independent service providers so as to ensure that the obligations under the Funding Agreement could be complied.

## 12.5 Handling of Information

12.5.1 The Secretariat and Government are committed to ensuring that all personal data submitted under various applications are handled in accordance with the relevant provisions of the Personal Data (Privacy) Ordinance (Chapter 486) (“PDPO”). In this regard, the personal data provided in relation to applications made under ReTAAS will be used by the Secretariat, Government or their authorised agents for activities relating to-

- (a) the processing and authentication of applications for funding support, disbursement and processing of funding under ReTAAS and any refund thereof; and
- (b) statistics and research.

12.5.2 The personal data that the Applicants provided in their applications will be kept in confidence provided that such obligations and restrictions should not apply to any disclosure which is necessary for the purposes mentioned in paragraph

12.5.1, or any disclosure which is authorised or required by law, or any disclosure which is given by the applicant/data subject. If necessary, the Secretariat will contact other Government departments and relevant parties to verify the personal data provided in the applications with those held by them for the purposes mentioned in paragraph 12.5.1. Applicants/data subjects whose personal data are collected by the Secretariat may request access to them under the PDPO. A charge will be made to cover the cost of photocopying the data supplied. In addition, if the data subject considers that the data supplied to the Secretariat is inaccurate, a request for correction of the personal data may be made in writing after a data access request has been made. Requests for access to personal data submitted under various applications under ReTAAS can be made in writing on the Data Access Request Form (No. OPS003 issued by the Privacy Commissioner), which is available at the Secretariat.

## **12.6 Indemnity**

The Applicant/Grantee must indemnify and keep each of the Secretariat, VC, Government, their employees and authorised persons fully and effectively indemnified against (i) all actions, claims (whether or not successful, compromised, settled, withdrawn or discontinued) and demands threatened, brought or established against the Secretariat, VC and/or Government and their employees and (ii) all costs (including all legal fees and other awards, costs, payments, charges and expenses), losses, damages and liabilities suffered or incurred by the Secretariat, VC and/or Government and their employees, which in any case arise directly or indirectly in connection with, out of in relation to a breach of the duty of confidence under general law, the use of any personal data in contravention of the PDPO, any breach of the Funding Agreement by the Grantee, the willful, misconduct, default, unauthorised act or willful, omission of the Applicant/Grantee, or any allegation or claim that the use, operation or possession of the project results or the exercise of any rights granted under the Funding Agreement infringes any intellectual property rights of any persons.

## **12.7 Prevention of Bribery**

The Applicant/Grantee must observe the Prevention of Bribery Ordinance (Chapter 201) (“PBO”) and must procure that its project team, directors, employees, agents, consultants, contractors and other personnel who are in any way involved in the project must offer to or solicit or accept from any person any money, gifts or advantages (as defined in the PBO) in relation to the project.

### **13. Enquiries**

Enquiries regarding ReTAAS can be addressed to:

Address: The Secretariat

Retail Technologies Adoption Assistance Scheme for  
Manpower Demand Management  
HKPC Building, 78 Tat Chee Avenue,  
Kowloon, Hong Kong

Tel: (852) 2788 6350

Fax: (852 ) 2788 5878

E-mail: [retaas\\_sec@hkpc.org](mailto:retaas_sec@hkpc.org)

Website: [www.retaas.hkpc.org](http://www.retaas.hkpc.org)



### Sample of Quotation Invitation Document

<b>From 傳自</b>	<b>Tel no 電話號碼</b>
<b>Date 日期</b>	<b>Total pages 頁數</b> 5 (including this page)
<b>Project Title 題目</b> <b>Provision of IT Products and/or Services for ReTAAS</b>	
You are invited to submit quotation for the captioned project for <b>Your Company Name</b> . Kindly fill in our QUOTATION FORM below and email it to <b>Your Procurement Email Address</b> on or before <b>Quotation Deadline [date]</b> . Please note that quotations submitted after the deadline would not be accepted.	
<b>Warning Clause of Quotation Invitation</b>	
1. You or your staff must not offer any advantage as defined in the Prevention of Bribery Ordinance (Cap 201) to any Board members or staff of our company in connection with this quotation exercise or the supply of goods in question. If you or your staff are found to have offered any advantage to any members or staff, or committed an offence under the Prevention of Bribery Ordinance in connection with this quotation exercise, our company may, without affecting your liability for such act, invalidate your quotations, or terminate the contract concerned without entitling you to any compensation.	
2. You are also prohibited from colluding with other suppliers or bidders in this quotation exercise in whatever forms (e.g. price rigging). Any breach of or non-compliance with these clauses by you will, without affecting your liability for such breach or non-compliance, invalidate this quotation.	
For any queries, please send by email to contact <b>In-Charge Person</b> at email <b>In-Charge Person Email</b>	

## QUOTATION FORM

**Officer-in-charge:** \_\_\_\_\_ **Contact no.:** \_\_\_\_\_

Please fill in **ALL ITEMS** with detail breakdown of quantities and rates. Otherwise this quotation will be treated as **INVALID**.

**From** Name of Supplier/Contractor : \_\_\_\_\_ (Tel: \_\_\_\_\_ )  
Website of Supplier/Contractor: : \_\_\_\_\_ (Email: \_\_\_\_\_ )  
Authorised Signature : \_\_\_\_\_ (Name: \_\_\_\_\_ )  
Business Address : \_\_\_\_\_  
Submission Date : \_\_\_\_\_  
Supplier's / Contractor's : \_\_\_\_\_  
Quotation Ref: \_\_\_\_\_

Company chop:

### Part A – Compliance with ReTAAS Requirements

Description	Comply (Y/N)	Comments (if any)
The adoption of Retail Technology and terms and conditions as specified in “Guide to Application for ReTAAS” are fully understood and accepted.		

Please demonstrate the quoted IT products and/or services meet all mandatory terms and conditions of quotation and specification in the Guide to Application for ReTAAS.

### Part B – Price Quotation for the Supply of Information Technology Products and/or Services

Item No	Description	Qty	Unit /Man-day	Unit Price in HKD	Total Price in HKD
For All IT Products and/or Services items that only related to the adoption of Retail Technology for Manpower Savings					
1	Goods, Equipment & Materials - Manufacturer / Origin - Delivery Schedule - Licensing fee, Warranty and After-sale Service				
2	Hardware / Software Cost - Manufacturer / Supplier / Vendor and Origin - Delivery Schedule - Licensing fee, Warranty and After-sale Service				
3	Project Cost Breakdown				
<b>Total price:</b>					

\*Please provide clear description of each product and/or service to be procured.

**Part C – Supplier’s / Contractor’s Information**

Table 1 Company Background Information

Provide a brief description of their company profile including the following information:

- Year founded
- Number of staff
- Core business and area of specialty
- Job reference

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Table 2 Value-added Services (if applicable)

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**Remarks:**

- 1) Payment terms: net 30 days against invoice by Direct Credit
- 2) Quotation Validity – 3 months
- 3) Late submission quote would NOT be considered.

**Reference Material**

The Independent Commission Against Corruption (ICAC) has published a booklet “Strengthening Integrity and Accountability – Government Funding Schemes Grantee’s Guidebook” providing grantees and vendors with practical set of guidelines in utilizing the funds for the intended purposes, covering procurement of goods and services, recruitment and management of project staff, and the associated financial and accounting controls, etc. Copies of the booklet are available free from the Corruption Prevention Advisory Service of ICAC (tel. 2526 6363). The applicants are advised to obtain this booklet for reference.



## **Retail Technology Adoption Assistance Scheme for Manpower Demand Management (ReTAAS)**

### **Completion Report of Approved Project**

Project ref. no. : \_\_\_\_\_  
Name of the Grantee : \_\_\_\_\_  
Project title : \_\_\_\_\_  
Period covered : From \_\_\_\_\_ to \_\_\_\_\_  
(dd/mm/yyyy) (dd/mm/yyyy)

#### **Important Notes**

1. To facilitate monitoring and evaluation of approved projects, a Grantee of the Retail Technology Adoption Assistance Scheme for Manpower Demand Management (ReTAAS) is required to submit a Completion Report with Audited Accounts to the Secretariat of the ReTAAS. The Completion Report should be submitted in accordance with the schedule as specified in the signed Funding Agreement.
2. The Grantee is required to carry out the approved project in strict accordance with the Funding Agreement including the approved project proposal (i.e. the Application Form) and all instructions and requirements as given by the Secretariat. Any modification, amendment or addition/deletion to the project or the agreement, including but not limited to the change of project duration, project scope, budget or replacement of the project coordinator require **PRIOR WRITTEN APPROVAL** from the Secretariat.
3. The Secretariat reserves the right to withhold any payment to the approved project if the submission of any reports or financial statements does not meet the standards specified in the Funding Agreement and the Guide.
4. All sections of this report have to be properly filled in. Please insert "N/A." if the information sought is not applicable or not available. If there is insufficient space for the information, please give details on a separate sheet to be attached to this report.
5. The completed Completion Report has to be submitted in both **hard** and **soft** copies (preferably in MS Word format) to the Secretariat.
6. It is an offence in law to furnish any false statement or information relating to the submission of this report.



If the training provided to the user(s) is different from the training plan in the approved project proposal, please provide the details / justification of the discrepancies in the following table.

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\* Please cross out as appropriate.

### C. Project Implementation

Please indicate if the project item is completed (C) according to approved project proposal, or not completed (NC). If it is not completed, please provide the reason(s).

	Item Description	Quantity	Status (C / NC)#	Completion Date (dd/mm/yyyy)		Project Location(s)	Reason(s) for deviation from its planned project item or planned completion date
				Proposed	Actual		
1			C / NC				
2			C / NC				
3			C / NC				
4			C / NC				

# Please cross out as appropriate.

## D. Project Expenditure

Expenditure Item	Payment Date	Cost Breakdown i.e. Unit Price / Monthly <sup>1</sup> Cost (\$)	Total (\$)		% Change of Actual Project Expenditure <sup>2</sup>
			Proposed <sup>3</sup>	Actual	
<b>(A1) Software Costs</b>					
(i)					
(ii)					
(iii)					
<b>(A2) Hardware Costs</b>					
(i)					
(ii)					
(iii)					
<b>Subtotal (A)</b>					
<b>(B) Any other Direct Cost(e.g. setup, training)</b>					
(i)					
(ii)					
(iii)					
<b>Subtotal (B)</b>					
<b>Project Cost (C): (A) + (B)</b>					
Cash contribution by the Grantee (D) (minimum of 50% of project cost)					
Amount of funding support for project cost applied under ReTAAS (E): (C) - (D)					
<b>Audit Fee (F)</b>					
Amount of audit fee contribution by the Grantee (G)					
Amount of audit fee support applied <sup>4</sup> (H) : (F) - (G) (max. of \$2,000)					
<b>Grand total of funding support applied under ReTAAS (E) + (H) (max. of \$50,000 per enterprise)</b>			<b>Total (\$)</b>		

<sup>1</sup> Must not exceed six months.

<sup>2</sup> The percentage change of actual project expenditure must not exceed 20% of the original proposed amount and the total grant amount must remain unchanged.

<sup>3</sup> "Proposed" expenditure is the project cost breakdown as stated in Section C - Project Budget of the Application Form.

<sup>4</sup> A Grantee may be reimbursed a maximum of \$2,000 for the preparation of Audited Accounts, on a dollar-to-dollar matching basis, if the funding ceiling of \$50,000 per enterprise has not been fully utilised. The Grantee should provide the relevant invoice to the Secretariat for reimbursement (upon submission of the Audited Accounts).



If the actual amount or quantity of expenditure item(s) is different from the budget in the approved project proposal, please provide the details / justification of the discrepancies in the following table.

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## E. Achievement of the Project on Manpower Savings

### (i) Actual Work Approach after Project Launch

Workflow (Please describe the steps/tasks involved)	Technologies involved (if any)	No. of staff deployed		Man-hour used (per month)	
		Proposed <sup>5</sup>	Actual	Proposed	Actual
Total:					

### (ii) Actual Project Outcome

	Original Approach (A) (at the time of application)	Actual Approach (B)	Project Outcome	Status (A / NA) <sup>#</sup>
Man-hours used (per month)			Man-hours Reduction (Per Month)[(A)-(B)] :__Hours Hourly wage: \$_____ Monthly Man-hours saving: \$_____	A / NA
Number of steps/tasks involved			Steps/Tasks reduction:	A / NA
Productivity gained			Monthly expenditure saved (such as overtime charge, profit made for redeploying staff on other tasks, etc.): <input type="checkbox"/> Reduce cost (overtime charge) <input type="checkbox"/> Streamline workflow process <input type="checkbox"/> Improve the quality of service <input type="checkbox"/> Improve staff working <input type="checkbox"/> efficiency Saving in resources and redeploy staff on other task reduction in carbon footprint	A / NA
Others (if any), please specify				A / NA

<sup>#</sup> Please cross out as appropriate to indicate if the project outcome is achieved (A), or not achieved (NA).

<sup>5</sup> “Proposed” no. of staff and man-hour is the estimated no. of staff and man-hour to be used in Section B Item 7 Self-Assessment on Manpower Savings of Application Form.

If the actual work approach / project outcome is different from the planned work approach / anticipated outcome in the approved project proposal, please provide the details / justification of the discrepancies in the following table.

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## F. Additional Information

(Please provide any information not covered elsewhere in this report.)

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## G. Checklist of Required Supporting Documents for Completion Report Submission

- The original of Completion Report
- The original of Audited Accounts
- The original and copy of \*Supporting Documents for Procurement or Tendering Procedure (including invitation of quotations/tenders, approval of quotations/tenders, certifying receipt of the goods/services)
- The original and copy of Supporting Documents for Audited Accounts (including invoice, official receipt, payment voucher, bank statement etc)
- The original and copy of Supporting Documents for Audited Accounts Services Fee (including invoice, official receipt, payment voucher, bank statement etc)
- Bank Account information for Fund Disbursement (including bank code, branch code, account number)
- Copy of Supporting Documents for Project Outcome
- Copy of Supporting Documents for Location of Approved Project (latest Business Registration Certificate)
- Copy of Supporting Documents for Individual Shareholder Information (latest Annual Return of the Companies Registry)
- Others:

(Please put a “√” in the box(es) if such documents are provided together with this Completion Report)

\* Please note that the supporting document should be able to show the segregation of duties among the specified process, i.e. task being handled by different staff & being approved or authorized by higher position staff with the presence of 2 signature proof.

## H. Authorised Signature

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Signature of Project Coordinator

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Name and Position of Project Coordinator

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Authorised Signature with Company Chop

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Name and Position of Signatory

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Date