

Format for Full Proposals to ASI Round 2 Funding Call

This document provides the format for the information you need to supply for a Full Proposal to ASI for funding from its Round 2. You will only be completing this form if you have been advised by ASI that you have been successfully shortlisted from the Expression of Interest stage and you have been invited to complete a Full Proposal.

It is not a form. It MUST BE READ CAREFULLY AND THOROUGHLY. Your response should answer the questions, and take into account the ASI Funding Guidelines, under each heading.

The proposal must not exceed twenty (20) pages (not including relevant attachments which should not exceed a further 20 pages). The 20 page limit does not include this cover page or the certification page and you may delete the explanatory sentences under each heading. Please use 11 font or larger.

ALL PROPOSALS TO ASI ARE EVALUATED ACCORDING TO THIS FORMAT. THEY WILL NOT BE EVALUATED UNLESS ALL QUESTIONS ARE ANSWERED AND THE INFORMATION REQUESTED IS SUPPLIED TO A SUFFICIENTLY HIGH STANDARD.

Please send an electronic copy in PDF format by midnight (AEST) 4 August 2010 PLUS one (1) UNBOUND, SIGNED hard copy, within one week, of the completed proposal to:

Email to: guidelines@australiansolarinstitute.com.au

Hand deliver to: Australian Solar Institute
Attention: Research Investment Manager
CSIRO Energy Centre, 10 Murray Dwyer Circuit
Mayfield West NSW 2304

Post to: P.O. Box 330,
Newcastle NSW 2300

Enquiries to **Sally O'Brien**
Australian Solar Institute
Ph: 02 4960 6300
email: guidelines@australiansolarinstitute.com.au

Certifications

COMPLETED CERTIFICATIONS MUST ACCOMPANY YOUR PROPOSAL.

Copy this page and attach it to your proposal or reproduce the wording exactly as it appears below.

A Certification by project manager

I declare that:

- a. the information given is, to the best of my knowledge, true at the date below;
- b. the participating organisations have the necessary infrastructure to undertake the project within the time proposed; and
- c. the items of equipment or plant for which funds are sought on this project are essential and dedicated to this project.

Signature _____

Date _____

B Certification by responsible officer of each submitting organisation

I declare that:

- a. the salaries quoted for personnel are in accordance with the practice of this organisation; and
- b. if the project is approved for funding and a contract is agreed, this organisation will comply with the provisions of the contract.

Signature _____

Date _____

Designation _____

Organisation _____

Executive Summary

A *non-confidential* Executive Summary of the proposal is to be provided which concisely describes:

- why this project is needed;
- the technology base for the project;
- how the project will be undertaken (i.e. the strategies to be adopted); and
- what will be achieved if the project is completed successfully.

The Executive Summary is **NOT TO EXCEED ONE PAGE**. It should be written using words and concepts that can be easily understood by readers who do not have a technical or scientific background.

Section 1 – Project Basics

1 Project title

2 ASI Research Category

Nominate category: Basic, Enabling, Applied or Core (Guidelines give category descriptions and funding limits).

3 ASI Round 2 Priority Area (if applicable)

Based on the direction provided in the ASI Round 2 Call and Funding Proposal Guidelines briefly explain in one paragraph which ASI investment priority area the project seeks to address.

4 Submitting Organisation

Name the organisation that is submitting this proposal to ASI and therefore expects to be the signatory to a Funding Agreement with ASI if the proposal is selected by ASI's Board for funding support.

5 Other participant(s)

List any other organisation(s) participating in and/or providing resources (including cash) to the project.

6 Project Manager and Project Administrator (include contact details)

ASI's funding contract requires that the submitting organisation designates a project manager to fulfil a number of reporting and communications obligations. If your institution/organisation has a Research Administrator please also provide details. Provide the name, position, organisation, address, phone number, fax number and e-mail address of this person or these people.

7 Principal investigator (include contact details)

If the project manager is also the principal investigator of the project, write "AS ABOVE". Otherwise, provide the name, position, organisation, address, phone number, fax number and e-mail address of the principal investigator.

8 Expected project commencement date

This project will commence on the day a contract with ASI is signed, or such earlier or later date as may be agreed by ASI in its sole discretion. If the proposal is approved, you should allow a period of at least three months from the date of submission of the proposal for evaluation, approval and contract negotiation.

9 Planned project duration

Provide the duration required to bring the project to successful completion and why it will take this length of time.

Section 2 – Project Description

10 What is the technical basis of the project and how does it compare to state-of-the-art?

- i. Describe the technology(ies) and/or technique(s) that are the basis of the project.
- ii. What are the innovative or new features that are being developed?
- iii. What is the origin of the background technology or ideas being brought to the project?
- iv. Describe how the technology base – and proposed innovation – compares to the state-of-the-art internationally, including who else is known to be working on similar technology(ies) or technique(s) in Australia and overseas.
- v. Provide evidence of the appropriate library (literature review), database or other searches completed to support the proposal that is being submitted. Where similar work has been done (or is underway) indicate whether there is any relationship with your proposal (or if there has been any interaction with others working in the space).
- vi. If similar work is being done elsewhere, particularly in Australia, reasons must be given why investment by ASI in this project is warranted [and/or whether there is potential for collaboration with others doing complementary work].

Note: If an independent technical review of the technology has been undertaken at any time, please provide a copy in support of this proposal.

For enabling research projects: focus on why the research is novel, necessary and applicable to the Australian context.

11 How will the project advance and accelerate a PV or CST Technology towards commercialisation?

- i. What is the proposed innovation that will advance and accelerate the technology?
- ii. How will this proposal reduce the levelised cost of energy and in what time frame?
- iii. What is the envisaged market impact and by when?
- iv. For Applied project proposals, has an assessment of market potential (or a Business Case) been completed that demonstrates the commercial pathway of the innovation. Please provide details.

Note: Basic projects are required to include in Section 12 an Objective which assesses market potential)

12 Project objectives

Provide them in numbered, point form

- The objectives of the project must be clearly defined to meet the need for the project. As far as possible, each objective should be: Specific, Measurable, Attainable, Results-oriented and Time specific.
- Express the objectives concisely, using active language. *For example:*
 - *to develop a within years for use by*
 - *to solve by*
 - *to achieve an xx% increase in conversion efficiency of in years*
 - *to have the project results adopted by the industry within years*
- Every project proposal is required to include an Objective that includes:

- For Applied Projects: completion (or submission to ASI if already prepared) of a Business Case for commercial deployment of the technological innovation;
- For Basic Projects: assessment of the market potential of the innovation in order to ascertain its commercialisation potential should the research be successful.

For enabling research projects: a commercialisation plan or assessment is not required but you should answer how ASI investment in the project will better enable the commercialisation of solar technologies.

13 Strategies to achieve the objectives

FOR EACH OBJECTIVE IN TURN, list in point form the strategies that have been devised to achieve it.

N.B. The strategies describe HOW each objective is expected to be achieved, and may include organisational, personnel, technical and/or commercial strategies.

14 Project schedule of tasks to implement the strategies

Preferably using a Gantt chart format, *provide in a graphic form* a project schedule of the (major) tasks to be undertaken to implement the strategies above. Ensure that sufficient time is allowed for new staff recruitment and/or new equipment purchase, delivery, installation and commissioning.

N.B. The project schedule is to be focused on the tasks to be undertaken during the project, and must not be a simple repetition of the major strategies or milestones.

15 Project budget (for the total cost of the project)

Provide a project budget table in the following format:

Heads of Expenditure	Year ending 30 June 20__	Year ending 30 June 20__	Year ending 30 June 20__	Year ending 30 June 20__	TOTAL (\$)
Personnel					
Equipment		<i>SAMPLE</i>	<i>TABLE</i>	<i>ONLY</i>	
Materials					
Subcontract		<i>SAMPLE</i>	<i>TABLE</i>	<i>ONLY</i>	
Travel					
Other		<i>SAMPLE</i>	<i>TABLE</i>	<i>ONLY</i>	
TOTAL					

16 Justification of budgeted total costs

The total costing must identify *all probable known* expenses associated with the project. Justify each of the heads of expenditure costs detailed in the project budget (Section 1L) as follows:

- Personnel:* List:
- the staff engaged or to be engaged on the project
 - their salary cost to the project;
 - the statutory on-costs for each;
 - staff-related overheads for each; and
 - recruitment and relocation costs (if applicable).

Calculate the amounts against salaries, on-costs and overheads by multiplying the full year value by the percentage of time spent on the project per year. All known OVERHEAD COSTS should be provided in detail; or if using a formula, justify its use and provide full details of the factors used in its derivation.

- Equipment:* List the cost of equipment to be used on the project as follows:
- New (purchase price plus delivery, installation and commissioning costs)
 - Depreciation on existing equipment

- Lease costs
- Maintenance costs
- Charges for use of existing equipment

Why is this equipment needed?

Materials: List the materials which will be consumed on this project and their cost. Aggregate the costs of minor or standard materials under generic headings.

Why are these materials needed?

Subcontract: List the names of any subcontractors and the costs of their engagement.
N.B. Certain clauses in ASI's contract cover aspects of the responsibility by the contractor for subcontracts.

Why will the subcontractor(s) be engaged?

Travel: List the costs for domestic and/or overseas travel by project personnel which is directly associated with the project.

Why is this travel required?

Other: List any other costs for the project which are not covered above. Of particular importance is technology adoption costs, i.e. any expected costs related to transferring the project results to the next stage towards commercialisation, or to commercialisation.

Why are these other expenses needed?

17 Financial contributions

Provide a financial contributions table in the following format:

Source	Cash Contribution (\$)	In-kind Contribution (\$)	TOTAL (\$)	% of total
ASI's Financial Limit	<i>SAMPLE</i>		<i>SAMPLE</i>	
Contractor(s) <i>(list)</i>	<i>TABLE</i>		<i>TABLE</i>	
Other participant(s) <i>(list)</i>	<i>ONLY</i>		<i>ONLY</i>	
TOTAL				100%

N.B. 'In-kind' contributions must be real costs to the provider of the 'in kind' support. For example, salaries and associated overheads of people working on the project; usage of equipment costs; or other real costs necessary to enable project completion.

N.B. 'In-kind' contributions do NOT include sunk costs of background technology or intellectual property being brought to the project.

18 Milestones

ASI will make payments only against the successful achievement of milestones. The proposed milestones MUST be measurable and MUST reflect progress towards achievement of the objectives of the project. Milestones are NOT the project's objectives, strategies, or the delivery of *progress* reports.

The first milestone CAN be the signing of the contract upon which ASI will pay up to 5% of its financial limit if required. ASI will retain 10% of its financial limit until ALL finalisation requirements (including End of Project and financial reports) are met by the contractor(s).

Milestone Number	Milestone Date	Milestone Description	Total cost to achieve EACH milestone (\$)	ASI's funding for EACH milestone (\$)
	<i>SAMPLE TABLE ONLY</i>	Signing of contract • • • ASI finalisation requirements met	<i>SAMPLE TABLE ONLY</i>	Up to 5% of ASI's Financial Limit • • • 10% of ASI's Financial Limit
	TOTAL			

19 Personnel to work on the project

List the names and/or positions of all personnel involved on this project and their employing organisation. Indicate those personnel who will be recruited specifically for this project. Indicate the amount of each person's time which will be devoted to this project. This may be in the form of *days per month* or *percentage of working time* or *person days/weeks/months/years*.

Name	Position on project	Organisation	Recruited for this project?	% Time on this project	Phone number
<i>SAMPLE</i>		<i>TABLE</i>		<i>ONLY</i>	

20 What is the experience and capability of these personnel to achieve the project milestones *on time*?

Detail the role, *relevant* experience and capabilities of the known personnel for this project. Where a new, unknown person will be recruited specifically for this project, indicate the role she/he will play and the experience and skills sought. If available, résumés can be included in an appendix.

21 What is the capability of the organisation(s) to support the project and its outcomes?

- i What is the capability of the organisation(s) to support meeting the objectives and tasks of the project?
- ii What is the capability of the organisation(s) to achieve successful adoption and/or commercialisation of the results of this project?

22 Other funding grants

Provide details of any grants your institution has received in the last 5 years in relation to this area of work, identify any current grants related to this proposal and any grant applications submitted to other funding agencies in respect of which you are awaiting a funding decision.

23 Compliance with ASI Funding Agreement

Provide details of any clauses in the ASI Funding Agreement with which your organisation does not agree with or comply with and give reasons for the disagreement or non-compliance, as the case may be, in the table below. Unless you have expressly stated otherwise in the table, the submitting organisation will be taken to be in agreement or compliance with the provisions of the ASI Funding Agreement. Any offer of funding by ASI and subsequent negotiation of the ASI Funding Agreement will only be entered into on the basis of the advice provided in the table, additional matters may not be raised after an offer of funding has been made.

In the Compliance/Agreement Status column you should use either :

- i. 'partially complies / agrees'
- ii. 'does not comply / agree'

- iii. 'not applicable'; or
- iv. 'complies / agrees'

and in the case of (i), (ii), or (iii), provide a brief explanation.

Clause	Compliance /Agreement Status	Comments

Section 3 – Benefit to Australia

24 What are the benefits to be achieved from this project?

For ASI to seriously consider funding this project, Australia must benefit from the achievement of the project’s objectives—assuming successful commercialisation eventually occurs. On the basis of this assumption:

- i What are the anticipated private benefits to the project participants such that their businesses grow in some tangible way as a result of the project?
- ii What are the anticipated national economic benefits?
For example, royalties from licensing of intellectual property, new or increased exports; import substitution; lower business costs through energy savings or reduced energy costs; increased employment.

Answers to the above questions MUST include how the benefits are anticipated to be generated (e.g. product sales, licences, energy savings, etc., supported by reasonable quantitative information such as the present size and location of existing markets, and what the economic benefits may be if a reasonable penetration of these markets is assumed.

- iii When will these benefits begin to accrue?
- iv What are the barriers to achieving these benefits?
This description should include factors such as the likelihood of the project’s success; the barriers to—and therefore likelihood of—the adoption/commercialisation by industry or end users of the technology(ies)/technique(s); a possible cost to achieve adoption/commercialisation and where such resources may, or may have to, be sought.

25 How will these benefits be realised?

ASI wants to understand how project proponents intend to achieve the benefits they believe are possible from this project, as set out in Section 23. Please explain inputs–activities–outputs–usage–impacts pathway(s) that you intend to utilise for these benefits to be realised.

ASI is not seeking a quantitative economic impact analysis from project proponents for this project. Rather, ASI will assess the rigour, quality of thinking and understanding by proponents about the steps they will need to take in order for measurable benefits to be realised—usually but not always by commercialisation of products, processes or services.

END