



Funding Proposal Guidelines

Revised June 2010

ASI Round 2 Funding Call

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ABOUT THE AUSTRALIAN SOLAR INSTITUTE

The Australian Solar Institute (ASI) is part of the Australian Government's Resources, Energy and Tourism portfolio and is supported by a funding commitment from 2009 – 2012 of AUD\$100 million. The Commonwealth is initially the sole member of ASI with the intention that the ASI will attract new partners and investors over time so that it will be sustained beyond its initial four year term. ASI is part of the Australian Government's Clean Energy Initiative which includes a commitment to develop a suite of cost-effective low emission energy technologies. The Australian Government has also set a renewable energy target of 20% by 2020.

ROLE

ASI invests in research and development (R&D) to accelerate market innovation in photovoltaic (PV) and concentrating solar thermal (CST) technologies which have the future potential to significantly reduce the levelised cost of solar energy compared to existing stationary electricity generation.

Skills development, knowledge building, and strengthening collaboration between Australian and international solar research and industrial expertise are also aims of the ASI. This includes dissemination of the knowledge and insights gained from the Australian Government's AUD\$1.5bn Solar Flagships program.

RESEARCH INVESTMENT OBJECTIVES

ASI's objectives for its research investments are to:

- Advance and accelerate innovative solar CST and PV technologies in Australia;
- Drive research that will have a major impact on the efficiency and cost effectiveness of solar technologies to increase their competitiveness with other stationary energy generation;
- Retain local and attract international expertise in solar energy research to Australia;
- Support the growth in skills and capacity in solar technologies for the domestic and international market.

ROUND 2 PRIORITIES

ASI is seeking highly meritorious projects in Round 2 and has identified specific focus areas for investment which are summarised below. Exceptional proposals outside the focus areas will also be considered. In all areas, industry and state government partnerships that increase project funding leverage beyond the matched funding criteria and reduce commercialisation risk will be viewed favourably. The same minimum matched funding requirements as applied in Round 1 will also apply in Round 2 and are described in these Guidelines. *Note: This excludes state government contributions. Any State government contributions will however help increase the overall leverage of ASI funds.*

In **photovoltaics** (PV) ASI has a particular focus in this round on R&D in technologies not yet commercialised in the market place that offer the opportunity to substantially lower the lifetime cost of solar electricity and therefore increase commercial deployment within the next decade. The path to cost reduction could be through challenging current efficiency thresholds, or alternative materials cost structures compared to the limited number of technologies that dominate today's market. Note: the projects funded by the ASI in the foundation round and in Round 1 were dominated by support for advancing the position of single junction silicon technologies. While proposals in this area are not excluded in Round 2, proponents should consider that the ASI Board has a desire to create a portfolio of R&D investments across a suite of PV technology areas with short, medium and long term potential. The ASI will focus on electricity generation technology that has the potential to compete with current stationary forms of electricity supplied to the Australian market.

In **concentrating solar thermal** (CST) ASI is seeking proposals in this round that will reduce the levelised cost of solar energy by increasing the efficiency of CST energy generation and reduce the cost of its capture and delivery. This includes research into increasing temperatures, dispatchability, hybrids (i.e. linking and integrating different thermal energy sources), reducing materials and solar field costs, reducing water dependency and reducing operating and maintenance costs. Technologies that seek to displace conventional electricity requirements with thermal energy need to demonstrate a clear path to market that will credibly result in commercial deployment.

In **enabling** research ASI is seeking proposals in this round that will advance the knowledge base and reduce barriers to deployment of solar energy in Australia. For example projects which:

1. examine grid and transmission development needs to enable solar expansion
2. team with the fossil fuels industry to investigate options to increase solar field deployment and reduce emissions through solar / fossil hybrid applications
3. increase finance sector confidence to invest in solar technologies and projects by identifying key investment risks and proposing global best practice mitigations
4. research generation forecasting techniques that build on best practice in solar deployment in Europe and wind in Australia

TIMELINE

Round 2 will be undertaken in **two** stages. First a call for Expressions of Interest (EOI) will be made followed by an invitation to a shortlist of EOI applicants to submit full funding proposals. The following are the target dates but these are subject to change at the discretion of the ASI – please monitor www.australiansolarinstitute.com.au for updates:

- **23 April:** Round 2 launched with invitation for submission of EOIs
- **21 May:** closing date for submission of EOIs
- **May-June:** Assessment of EOIs by ASI Research Advisory Committee
- **Late June:** Proponents advised of EOI outcome
- **June:** Invitation to shortlist of EOI applicants to submit full proposals for funding
- **4 August:** closing date for full proposals
- **August:** Assessment of full proposals by ASI Research Advisory Committee
- **September:** ASI Board makes Round 2 funding decisions.

ROUND 2 FUNDING

Only highly meritorious projects will be funded in Round 2, with the ASI unlikely to commit all of its remaining funds to funding proposals received in Round 2 (refer Table 1 for availability of remaining ASI funding). Some funding will be retained for future rounds, for leveraging new funding and for brokering of strategic projects. The amount of funding to be released in Round 2 and the funding allocations against each area are at the discretion of the ASI Board.

Table 1: ASI Funding for R&D under current Funding Agreement with the Commonwealth (to 2014)

| Area | Foundation Grants | Round 1 announced or Under Negotiation | Unallocated for future rounds and leverage |
|---|-------------------|--|--|
| PV | \$10m | c\$20.5m | c\$10.4m* |
| CST | \$5m | c\$10.5m | c\$25.4* |
| Knowledge Building & Skills Development | | <\$1.0m | c\$5.0m |

* Included in the \$10.4m PV figure is up to \$3.5m earmarked for Core Funding Proposals and included in the \$25.4m CST figure is \$4m earmarked for Core Funding Proposals. All funding allocations are at the sole determination of the ASI Board.

PROJECT PROPOSALS

ASI will support solar R&D projects that are technically “excellent” and that will lead to increased commercial deployment of PV and CST technologies — whether that commercial deployment is in the short, medium or long term. ASI will proactively foster the development of, and fund and support, excellent industrial and academic proposals in the areas of:

- Applied R&D (including leading to pilot-scale demonstration) projects designed to move PV and CST technologies to an investment-ready point either for pre-commercial, large-scale demonstration funding or for business-support funding.
- Basic R&D projects designed, as the major aim of the project, to establish “proof-of-principle” at an experimental level of a new PV or CST technology.
- Enabling research, to increase the knowledge base and reduce barriers to deployment of solar energy in Australia.
- Core Institution R&D projects, for which funding is drawn from the Commonwealth’s allocation of 40% of its ASI funding commitment to the designated Core Institutions: CSIRO, Australian National University and University of New South Wales.
 - **NB: Core projects are assessed using the Applied R&D Project Criteria but also attract certain additional assessment criteria.**

Projects may be industry-only (sole company or consortia); industry-led (research-provider supported); research-provider led (industry supported); or research-provider only, noting that collaboration is encouraged and assessed. ASI may also proactively commission, on a competitive basis, R&D projects that it considers are critical to the PV or CST sectors in Australia.

Consultation

ASI will provide updated information about progress in the Round 2 call via its website. The ASI’s Research Investment Managers are available to answer questions from proponents over the phone and by email during the preparation of EOIs. Proponents may also seek face to face meetings.

Proponents who are successfully shortlisted through the EOI process and who are *invited* to submit full funding proposals will be encouraged to work with and consult with Research Investment Managers as they prepare their full proposals.

Where appropriate, the ASI may be able to assist proponents to develop consortia to finance and carry out projects and – if requested by proponents – may assist proponents’ efforts for the outcomes of their projects to be adopted at the next point in the innovation chain (e.g. scale-up to pilot- or large-scale demonstration).

Confidentiality

ASI treats all information confidentially unless prior agreement has been reached with the proponent(s).

Eligible Applicants

To be an eligible applicant for ASI R&D Project funding support, applicants must be able to demonstrate that:

- They are a research institution, university and/or business that has the capability to undertake leading-edge research and development of a PV or CST technology in Australia;
 - Applicants must be Australian-domiciled but not necessarily Australian-owned.
- they can fund as they fall due the costs of the project that are not met by ASI’s contribution to the total cost of the project; and

- they have ownership of, access to or the beneficial use of any background intellectual property necessary to carry out the project.

Project Funding Limits

Applied R&D Projects

The ASI is seeking well-leveraged Applied R&D proposals that preferably demonstrate industry and State government support. The minimum funding level for Applied Projects will be \$1 million and the maximum will be \$5 million except in exceptional circumstances that would require significant justification by project proponents.

- All projects will be stage-gated to ensure continuing support only on the basis of demonstrable achievement of clear milestones.
- ASI recognises that there may be projects that could utilise a larger maximum funding contribution from it. In this case the project could be supported on a staged basis as independent but related (i.e. follow-on) projects.

Basic R&D Projects

The maximum funding level for Basic R&D Projects will be \$1 million.

Enabling Research Projects

The maximum funding level for Enabling R&D Projects will be \$500,000.

Value for Money

ASI is seeking projects that offer it high value for its contribution to total project cost. Notwithstanding this,

- A minimum 1:1 funding criterion is required for Applied R&D Projects, noting that value-for-money will remain an assessment criterion.
 - Proponents' contribution to the total cost of the project can comprise cash and/or in-kind components in order not to disadvantage academic, CSIRO and small-medium enterprises whose primary contribution to projects will be provision of in-kind people, facility and equipment resources.
- Basic and Enabling R&D Projects do not have any matching funding requirement, noting though that value-for-money will remain an assessment criterion.

State governments and industry may be co-funders of projects proposed to ASI. Noting that state government contributions **cannot** be used for matching funding, their contributions are still encouraged as any State government contributions will help increase the overall leverage of ASI funds.

Ineligible Expenditure

The cost of some activities conducted as part of an agreed project may not be eligible expenditure. An applicant must ensure it has adequate funds to meet the cost of any ineligible expenditure associated with its project. Ineligible expenditure categories include, but are not limited to:

- The construction of buildings and/or cost of purchasing or improving land.
- Management studies or efficiency surveys.
- The making of donations.
- The costs of obtaining resources used on the project, including interest on loans and leases, job advertising and recruiting, and contract negotiations.
- Routine collection of information, except as part of the R&D process.
- Any activity related to the reproduction of a commercial product or process by a physical examination of an existing system or from plans, blueprints, detailed specifications or publicly available information.

- Opportunity costs relating to forgone production and downtime arising from the allocation of resources to the project.
- An activity that a local, State, Territory or Australian Government agency has the responsibility to undertake.
- Any activity that the grantee could reasonably be expected to undertake in the normal course of their business.
- Any activity that is supported by another Australian Government program which would lead to ASI funding the same activity more than once.
- Any activity that the proponent must perform to comply with legislation.
- Interest on loans for new and pre-existing capital items utilised for the project.

This list is not exhaustive. Other specific expenditure may be ineligible because it is deemed by the Executive Director of ASI to not directly support the achievement of the planned outcomes of the solar R&D project or to be contrary to the spirit and/or intention of ASI's solar R&D projects.

Project Total Cost

The total costing of the project must identify all probable known expenses associated with the project. Heads of expenditure costs to be detailed in, and justified for, the project budget are:

Personnel: The cost for the time they are directly engaged in the project of staff engaged or to be engaged on the project, including their salary cost; recruitment & relocation costs (if applicable); and staff-related overheads. All known OVERHEAD COSTS should be provided in detail or if using a formula then justify its use and provide full details of the factors used in its derivation.

Equipment: The cost of equipment to be used on the project including new equipment; depreciation on existing equipment; lease costs; maintenance costs; and/or charges for use of existing equipment.

Materials: The materials that will be consumed on this project and their cost.

Subcontract: The costs of their engagement or subcontractors.

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

Other: Any other costs for the project which are not covered above. Of particular importance is technology adoption costs, i.e. any expected costs (including intellectual property protection costs) related to transferring the project results to, or to the next innovation stage towards, commercialisation.

N.B.: Any overseas expenditure [including overseas travel costs] other than equipment or materials must be limited to no more than 10% of the total cost of the Project. All overseas expenditure in any category must be justified as integral to the project, including a justification as to why any R&D activities conducted overseas for the project cannot be done in Australia or any equipment or materials supplied from overseas cannot be sourced in Australia.

Contributions to the Project Total Cost

ASI will make a financial contribution, within the project funding limits set out earlier in these guidelines, to meeting the total costs of the project. Participants conducting the project may make cash and/or in-kind contributions to finance the balance of the total cost of the project.

In-kind contributions are a non-cash contribution in the form of existing resources applied to the project, for example:

- Salaries and associated overheads of people working on the project, for the time they are engaged in the project;
- Access to and use of capital equipment.
- Indirect support costs such as general infrastructure costs.
- Imputed rent on buildings and equipment made available for use by the project.
- Non-salary project-specific direct costs, for example, the cost of providing consumables.
- Other costs necessary to enable project completion.

In-kind contributions must be directly attributable to the provider of the in-kind support—and they must be auditable at a reasonable level that verifies their contribution to the total cost of the project, including overhead levels and/or formulae.

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

With the listing of ASI on the Australian Competitive Grants Register, university applicants for non-core projects should seek funding only for direct costs, since block grants compensate universities for indirect costs (which include laboratory operations & maintenance, administration and utilities). Investigators should consult ASI if in doubt

Compliance with ASI Funding Agreement

Proponents who are invited to submit Full Funding Proposals will be provided with a copy of the ASI Funding Agreement template. As part of completing the Full Funding Proposal, proponents must provide details of any clauses under the ASI Funding Agreement with which the proponent's 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 provided in Section 23 of the Full Proposal application form.

Unless proponents have expressly stated otherwise (in Section 23) the 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 with the proponent on the basis of the advice provided in Section 23; additional matters may not be raised after an offer of funding has been made. The extent to which the proponent's organisation agrees and complies with the ASI Funding Agreement may be a consideration in the ASI's decision of whether to make an offer of funding.

Project Proposal Formats

Round 2 will be undertaken in two stages – a call for Expressions of Interest (EOI) followed by an invitation to shortlisted EOI applicants to submit full funding proposals.

EOIs should be submitted by following the EOI template, which can be downloaded from the ASI website.

Full proposals should be submitted by following the Full Proposal template, which can be downloaded from the ASI website.

Proponents are encouraged to seek feedback from the ASI's Research Investment Managers during the proposal development process regarding any aspect of the proposal templates or ASI objectives that is unclear. Proposals must address ALL questions in templates and all requested information must be supplied. A failure to do so will result in the proposal not being considered for ASI funding.

Each applicant invited to submit a full funding proposal will be required to carefully plan their project, define the need for the project, describe the benefits that will arise from the successful achievement of the project's objectives (assuming successful commercialisation), and justify the technological and financial base of the project.

An important part of the project development process is to verify the relationship of the proposed technology to the global state-of-the-art. This bench-marking is a requirement in ASI's proposal format.

Assessment Process

Assessment of proposals will be undertaken in two stages by the ASI Research Advisory Committee (RAC). EOIs will undergo a detailed review by the RAC which will provide advice to the ASI Board, with a shortlist of proponents then being invited to submit full proposals. It is anticipated that proponents will be advised of outcomes from the EOI process by 30 June 2010. Proponents will then have 4-5 weeks to prepare and submit full proposals. The ASI Board aims to make final funding decisions before the end of September 2010, following advice from the Research Advisory Committee and ASI Management.

Each EOI will be assessed against the criteria provided in the Assessment Sheet for EOIs which are provided at the end of these Guidelines. Full Proposals will be assessed against the criteria provided in the Full Proposal Assessment Sheets provided at the end of these Guidelines. These are the criteria the RAC will use to assess the merit of each proposal and will be used to assist in the RAC short-listing process.

Details of RAC membership is provided on the ASI website. Proponents will be given the opportunity to request that individual RAC members not assess their proposals on the grounds of potential conflict of interest.

Assessments are made using a weighted scoring system, with additional commentary for clarity and/or feedback. Pro forma scoring sheets for Applied R&D, Basic R&D and Core Institution R&D projects are provided at the end of these Guidelines.

Any conflict of interest that arises in respect of ASI RAC or Board members will be managed to ensure that the relevant member(s) is not included in a project's assessment or selection process. When necessary, additional expert advice will be sought as part of the ASI's assessment process. If ASI does seek an external opinion on a project proposal, this will first be discussed with the proponent(s). Any external assessor will be required to sign a confidentiality agreement before any information about an application is released.

Applied R&D Projects

The high-level merit criteria used by ASI and their contribution to an overall assessment of an Applied R&D project proposal cover:

- The project (50%)
 - The strategic, technical, budgetary and 'value for money' merit of the proposed project.
- The people and their organisations (25%)
 - The quality of the people and the organisation(s), including their capability to progress the outcomes of the project towards commercialisation.

- The contribution to ASI's objectives for its research investments and potential benefits to Australia (25%)
 - The potential benefits (“building the business” of the project applicants together with national economic benefits) to Australia assuming successful commercial use of the outcomes of the proposed project is achieved – and the likelihood of these benefits being realised.
 - The level of contribution to ASI’s objectives for its investments if successful commercial use of the proposed project’s outcomes was achieved.

Basic R&D Projects

The high-level merit criteria used by ASI and their contribution to an overall assessment of a Basic R&D project proposal cover:

- The project (40%)
 - The strategic, technical, budgetary and ‘value for money’ merit of the proposed project – emphasising the technical merit.
- The people and their organisations (35%)
 - The quality of the people and the organisation(s), including their capability to progress the outcomes of the project towards commercialisation – emphasising the quality/track record of the people.
- The contribution to ASI's objectives for its research investments and potential benefits to Australia (25%)
 - For Basic R&D projects, their potential to lead eventually to larger projects with significant benefit to Australia is emphasised.
 - The level of contribution to ASI’s objectives for its investments if successful commercial use of the proposed project’s outcomes was achieved.

Core R&D Projects

The high-level merit criteria used by ASI and their contribution to an overall assessment of a Core R&D project proposal covers the criteria given for Applied project and are subject to the following additional criteria:

- Additional assessment criteria for Core projects
 - Projects should be strategic and long term in nature.
 - Projects should build on the major strengths of the Core institutions.
 - Projects should complement and build on Core institutions Foundation Projects [and ASI-funded Round 1 projects].
 - Projects should involve collaboration within the Australian research community.
 - Projects should advance Australia’s leadership position in this technology area.

Final Funding Selection

The ASI Board will consider all full proposals and, based on the assessments and advice provided to it by ASI’s Research Advisory Committee and ASI’s management, it will rank the proposals and select those of highest merit. The Board reserves the right to not select any proposals for funding if the standard is not considered high enough.

Post Selection Feedback

Unsuccessful applicants for R&D project funding may seek feedback from ASI Management. Detailed scoring information will NOT be provided. ASI Management will provide qualitative feedback on why a proposal was not successful using the major assessment bands described earlier. Unsuccessful applicants may re-submit their proposals in subsequent R&D Project funding rounds.

**DRAFT ROUND 2 FULL PROPOSAL
ASSESSMENT SCORING SHEET
FOR *BASIC and ENABLING R&D* PROJECT PROPOSALS**

CONFIDENTIAL

| | | | | |
|---|---|---------------------------|-----------|-------|
| Proposal Number: | | | | |
| Project Title: | | | | |
| Submitting Organisation(s): | | | | |
| | | Evaluation | Weighting | Total |
| The Project (45%) | | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the plan for, and the budgetary and technical merit of, the proposed project.</i> | | | | |
| a) | Merit of the clearly defined NEED, OBJECTIVES and STRATEGIES for this project | | 4 | |
| b) | Merit and validity of the proposed TECHNICAL BASIS of the project (<i>for enabling proposals assess the merit of the approach and methodology</i>) | | 12 | |
| c) | JUSTIFICATION – in a world context – for undertaking this project in Australia, including the adequacy of the competitive landscape analysis provided | | 5 | |
| d) | APPROPRIATENESS of, and justification for, the proposed BUDGET | | 3 | |
| e) | LEVERAGE on the amount of funding sought from ASI ('value-for money') | | 3 | |
| f) | A COMMERCIALISATION pathway/plan is well articulated and credible | | 4 | |
| | | SUB-TOTAL | | |
| The People and Their Organisations (35%) | | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the track record of the people and organisations involved in this project.</i> | | | | |
| g) | Experience and capability of the personnel to achieve the objectives of the project vs other global leaders in the field | | 12 | |
| h) | Capability of the organisation(s) to support the project to completion | | 5 | |
| i) | Experience and capability of the people and organisation(s) to progress the outcomes of the project toward further development with a view to commercialisation | | 4 | |
| | | SUB-TOTAL | | |
| The Potential Benefits to Australia (10%) | | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the potential benefits to Australia which may result - assuming successful commercialisation.</i> | | | | |
| | Size and validity of the claimed benefits to Australia: | | | |
| j) | "Growth of the business" (i.e. private) benefit to the project proponents | | 1 | |
| k) | National economic and other benefits (industry development; jobs creation; environmental) | | 2 | |
| l) | Prospects for successful adoption of the results of the project into the next stage of its innovation process | | 3 | |
| | | SUB-TOTAL | | |
| The Contribution to ASI's Objectives for its Research Investments (10%) | | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the contribution that would be made to ASI's objectives for its investments if successful commercial utilisation of the outcomes of the project occurs.</i> | | | | |
| m) | Advance and accelerate innovate PV and CST technologies in Australia (<i>for enabling projects advances knowledge base to reduce barriers to increased deployment in Australia</i>) | | 1 | |
| n) | Support collaborative R&D in solar technologies | | 2 | |
| o) | Significantly increase the competitiveness of solar technologies in their markets, including a demonstrated understanding of how the work could assist in reducing LCOE of solar (<i>for enabling projects the outcomes will advance deployment of solar technologies in Australia</i>) | | 3 | |
| p) | Addresses an ASI Round 2 priority area | | 3 | |
| | | SUB-TOTAL | | |
| | | TOTAL (out of 335) | | |
| Other Considerations | | | | |
| In what time-frame from project completion do you think the results of the project will enter the market? | | | | |
| RAC Expert Opinion (RAC members are asked to provide written feedback to assist RAC decision making and feedback by ASI Management to proponents: | | | | |
| | | | | |
| Evaluated By | | Date | | |

**DRAFT ROUND 2 FULL PROPOSAL
ASSESSMENT SCORING SHEET
FOR CORE INSTITUTION (40% COMPONENT)
R&D PROJECT PROPOSALS**

CONFIDENTIAL

Proposal Number: _____
 Project Title: _____
 Submitting Organisation(s): _____

| | Evaluation | Weighting | Total |
|--|------------------|-----------|-------|
| The Project (40%) | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the plan for, and the budgetary and technical merit of, the proposed project.</i> | | | |
| a) Merit of the clearly defined NEED, OBJECTIVES and STRATEGIES for this project | [] | 5 | [] |
| b) Merit and validity of the proposed TECHNICAL BASIS of the project | [] | 10 | [] |
| c) JUSTIFICATION – in a world context – for undertaking this project in Australia, including the adequacy of the competitive landscape analysis provided | [] | 5 | [] |
| d) APPROPRIATENESS of, and justification for, the proposed BUDGET | [] | 3 | [] |
| e) LEVERAGE on the amount of funding sought from ASI ('value-for money) | [] | 3 | [] |
| f) COMMERCIALISATION plan is well articulated and credible | [] | 6 | [] |
| | SUB-TOTAL | | [] |

| | | | |
|--|------------------|---|-----|
| The People and Their Organisations (25%) | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the track record of the people and organisations involved in this project.</i> | | | |
| g) Experience and capability of the personnel to achieve the objectives of the project vs other global leaders in the field | [] | 8 | [] |
| h) Capability of the organisation(s) to support the project to completion | [] | 3 | [] |
| i) Experience and capability of the people and organisation(s) to progress the outcomes of the project towards commercialisation | [] | 4 | [] |
| | SUB-TOTAL | | [] |

| | | | |
|---|------------------|---|-----|
| The Potential Benefits to Australia (20%) | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the potential benefits to Australia which may result - assuming successful commercialisation.</i> | | | |
| Size and validity of the claimed benefits to Australia: | | | |
| j) "Growth of the business" (i.e. private) benefit to the project proponents | [] | 3 | [] |
| k) National economic and other benefits to Australia (industry development; jobs creation; environmental) | [] | 8 | [] |
| l) Prospects for successful (commercial) adoption of the results of the project | [] | 4 | [] |
| | SUB-TOTAL | | [] |

| | | | |
|---|------------------|---|-----|
| The Contribution to ASI's Objectives for its Research Investments (15%) | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the contribution that would be made to ASI's objectives for its investments if successful commercial utilisation of the outcomes of the project occurs.</i> | | | |
| m) Advance and accelerate innovate PV and CST technologies in Australia | [] | 2 | [] |
| n) Support collaborative R&D in solar technologies | [] | 3 | [] |
| o) Significantly increases the competitiveness of solar technologies in their markets including demonstrating how LCOE of solar will be reduced through commercialisation of this technology | [] | 6 | [] |
| p) Addresses an ASI Round 2 Priority area | [] | 3 | [] |
| | SUB-TOTAL | | [] |

TOTAL (out of 380) []

| | | | |
|--|---------------------------|---|-----|
| Additional Assessment Criteria for Core Institution (40% component) Projects | | | |
| <i>Using a scale of 0 (very low merit) to 5 (very high merit), assess the additional merit criteria that apply to Core Institution (40% component) projects.</i> | | | |
| Core Institution (40% component) projects should be strategic and longer term in nature | [] | 5 | [] |
| Core Institution (40% component) projects should build on the major strengths of the Core Institutions | [] | 5 | [] |
| Core Institution (40% component) projects should complement and build on the Core Institutions' Foundation Projects | [] | 5 | [] |
| Core Institution (40% component) projects should involve collaboration within the Australian research community. | [] | 5 | [] |
| | TOTAL (out of 100) | | [] |

Other Considerations
 In what time-frame from project completion do you think the results of the project will enter the market? []

RAC Expert Opinion (RAC members are asked to provide written feedback to assist RAC decision making and feedback by ASI Management to proponents):

Evaluated By [] Date []

**DRAFT ROUND 2 FULL PROPOSAL
ASSESSMENT SCORING SHEET
FOR APPLIED R&D PROJECTS**

CONFIDENTIAL

Proposal Number:

Project Title:

Submitting Organisation(s):

| Evaluation | Weighting | Total |
|------------|-----------|-------|
|------------|-----------|-------|

The Project (40%)

Using a scale of 0 (very low merit) to 5 (very high merit), assess the plan for, and the budgetary and technical merit of, the proposed project.

| | | | |
|----|---|------------------|--|
| a) | Merit of the clearly defined NEED, OBJECTIVES and STRATEGIES for this project | 5 | |
| b) | Merit and validity of the proposed TECHNICAL BASIS of the project | 10 | |
| c) | JUSTIFICATION – in a world context – for undertaking this project in Australia, including the adequacy of the competitive landscape analysis provided | 5 | |
| d) | APPROPRIATENESS of, and justification for, the proposed BUDGET | 3 | |
| e) | LEVERAGE on the amount of funding sought from ASI ('value-for money) | 3 | |
| f) | COMMERCIALISATION plan is well articulated and credible | 6 | |
| | | SUB-TOTAL | |

The People and Their Organisations (25%)

Using a scale of 0 (very low merit) to 5 (very high merit), assess the track record of the people and organisations involved in this project.

| | | | |
|----|---|------------------|--|
| g) | Experience and capability of the personnel to achieve the objectives of the project vs other global leaders in the field | 8 | |
| h) | Capability of the organisation(s) to support the project to completion | 3 | |
| i) | Experience and capability of the people and organisation(s) to progress the outcomes of the project towards commercialisation | 4 | |
| | | SUB-TOTAL | |

The Potential Benefits to Australia (20%)

Using a scale of 0 (very low merit) to 5 (very high merit), assess the potential benefits to Australia which may result - assuming successful commercialisation.

| | | | |
|---|--|------------------|--|
| Size and validity of the claimed benefits to Australia: | | | |
| j) | "Growth of the business" (i.e. private) benefit to the project proponents | 3 | |
| k) | National economic and other benefits to Australia (industry development; jobs creation; environmental) | 8 | |
| l) | Prospects for successful (commercial) adoption of the results of the project | 4 | |
| | | SUB-TOTAL | |

The Contribution to ASI's Objectives for its Research Investments (15%)

Using a scale of 0 (very low merit) to 5 (very high merit), assess the contribution that would be made to ASI's objectives for its investments if successful commercial utilisation of the outcomes of the project occurs.

| | | | |
|----|--|------------------|--|
| m) | Advance and accelerate innovate PV and CST technologies in Australia | 2 | |
| n) | Support collaborative R&D in solar technologies | 3 | |
| o) | Significantly increases the competitiveness of solar technologies in their markets including demonstrating how LCOE of solar will be reduced through | 6 | |
| p) | Addresses an ASI Round 2 Priority area | 3 | |
| | | SUB-TOTAL | |

TOTAL (out of 380)

Other Considerations

In what time-frame from project completion do you think the results of the project will enter the market?

RAC Expert Opinion (RAC members are asked to provide written feedback to assist RAC decision making and feedback by ASI Management to proponents):

Evaluated By

Date

