



# *Format for proposals for ASi funding contribution to a solar R&D project*

This document provides the format for the information you need to supply for a project for which you are seeking ASi funding support.

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

The proposal should not exceed twenty (20) pages (not including relevant attachments).

**ALL PROPOSALS TO ASi ARE EVALUATED ACCORDING TO THIS FORMAT. THEY WILL NOT BE EVALUATED UNLESS ALL INFORMATION REQUESTED IS SUPPLIED TO AN ADEQUATE QUALITY.**

Please send one (1) UNBOUND, SIGNED copy of the completed proposal PLUS an electronic copy in PDF format to:

Executive Director  
Australian Solar Institute  
CSIRO Energy Centre, 10 Murray Dwyer Circuit  
Mayfield West NSW 2304

P.O. Box 330,  
Newcastle  
NSW 2300,

**Enquires to** Denis Smedley ☐  
Australian Solar Institute ☐  
Ph: 02 4960 6301 ☐  
Mob: 0409 988 651 ☐  
email: [denis.smedley@australiansolarinstitute.com.au](mailto:denis.smedley@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); 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 Description

### 1 Project title

---

### 2 Submitting Organisation

Name the organisation that is submitting this proposal to ASI and therefore expects to be the signatory to a funding contract with ASI if the proposal is successful.

---

### 3 Other participant(s)

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

---

### 4 Project manager and contact details

ASI's contract requires that the submitting organisation designates a project manager to fulfil a number of reporting and communication obligations. Provide the name, position, organisation, address, phone number, fax number and e-mail address of this person.

---

### 5 Principal investigator and 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.

---

### 6 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.

---

### 7 Planned project duration

Provide the duration that this project is planned to take to successful completion and why it will take this length of time.

---

## 8 Why is this project needed?

- i What is the product, process or service to which the results of this project will contribute?
  - ii Why is this product, process or service needed?  
*For example, what is the commercial opportunity and/or the technical or commercial problem, either existing now or anticipated, which is driving the need for this project? What sections of industry and/or the community have this real or potential opportunity or problem and are therefore potential users of the project outcomes—either in Australia or overseas?*
  - iii Finally, why is THIS project needed?  
*N.B. The need is not the features of the technology or product (to be discussed in Section 12) nor is it the benefits to be realised (to be discussed in section 21).*
- 

## 9 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*
  - If only limited knowledge of the market for the technology or product being developed by this project is available, it is suggested that an objective such as:
    - *to assess the market potential of ..... in order to ascertain .....*is included as one of the earliest objectives to be achieved in the project.
- 

## 10 Strategies to achieve the objectives

FOR EACH OBJECTIVE IN TURN, list in point form the strategies which 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.*

---

## 11 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.*

---

## 12 What is the technical basis of the project?

- i Describe the technology(ies) and/or technique(s) which are the basis of the project.
  - ii What is the origin of this background technology or ideas being brought to the project?
  - iii What are *the innovative or new features which are being developed to achieve the objectives of the project?*
- 

## 13 How does this technology base compare to state-of-the-art?

- i Describe how the technology base compares to the state-of-the-art in the world, including who else is known to be working on similar technology(ies) or technique(s) in Australia and overseas.

- ii Provide evidence that appropriate library, database or other searches already have been carried out prior to this proposal being submitted to ASI.
- iii If similar work is being done elsewhere, particularly in Australia, reasons must be given why investment by ASI in this project is warranted.

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

## 14 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>	
<b>TOTAL</b>					

## 15 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 14) 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?

## 16 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>	
<b>TOTAL</b>				<b>100%</b>

*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.*

## 17 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 (\$)
		Signing of contract		Up to 5% of ASI's Financial Limit
	<i>SAMPLE</i>	•	<i>SAMPLE</i>	•
	<i>TABLE</i>	•	<i>TABLE</i>	•
	<i>ONLY</i>	•	<i>ONLY</i>	•
		ASI finalisation requirements met		10% of ASI's Financial Limit
	<b>TOTAL</b>			

## 18 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 & facsimile numbers
<i>SAMPLE</i>		<i>TABLE</i>		<i>ONLY</i>	

---

**19 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.

---

**20 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?

---

**21 What are the benefits to be achieved from this project?**

For ASI to consider this project seriously, 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 so their business grows in some tangible way?
- ii What are the anticipated national economic benefits?  
*For example, increasing existing or creating new exports; decreasing imports; lowering business costs by energy savings or reducing energy costs; increasing employment; etc.*

*Answers to the questions above MUST include how the benefits are anticipated to be obtained (e.g. product sales, licences, energy savings, etc.) and reasonable quantitative information such as the present size of existing markets; where such markets are; 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.*

---

**22 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 21. 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 it is 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—that ASI will assess.

---

**END**