

Department of Planning
and Environment

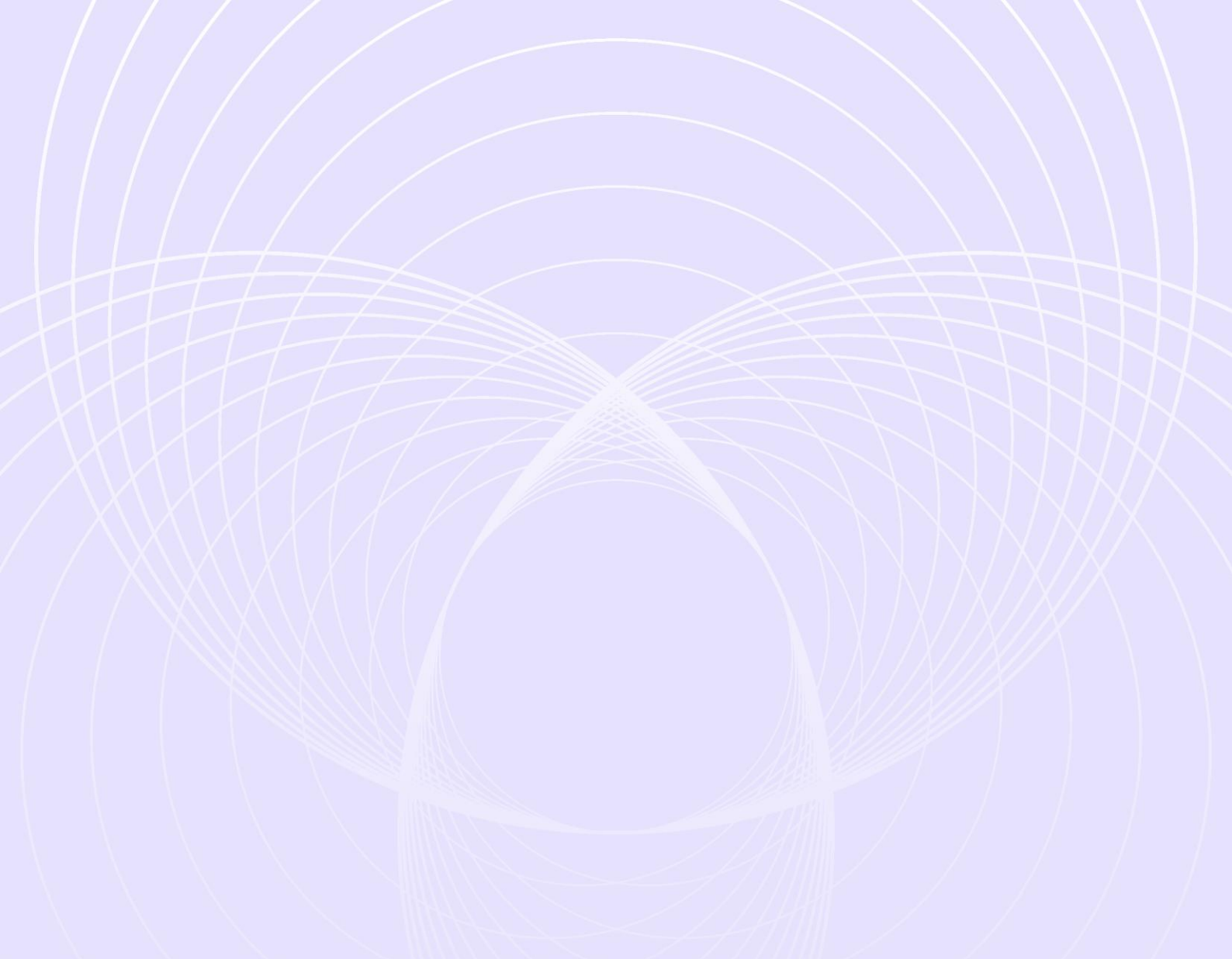
Clean Technology Research, Development and Commercialisation Infrastructure Grants



Grant guidelines: EOI stage

March 2022





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Contents

How to use these guidelines	i
Enquiries or questions	i
Glossary	i

1. Clean Technology Research, Development and Commercialisation Infrastructure Grants 1

The Net Zero Industry and Innovation Program	1
Clean Technology Innovation	2
Priority areas	2
Alignment with government initiatives	3

2. Important information about the grants 4

Grant objectives	4
Definition of infrastructure	4
Types of eligible infrastructure	4
Funding availability	6
How to apply	6

3. Eligibility criteria 8

Eligibility criterion 1: Eligible applicants	8
Eligibility criterion 2: Eligible projects	9
Eligibility criterion 3: Criticality of grant funding	9

4. Merit criteria 10

Merit criterion 1: Technical and commercial feasibility	10
Merit criterion 2: Capability and capacity	11
Merit criterion 3: Financial feasibility	11
Merit criterion 4: Accessibility and alignment to grant priorities	12

5. Guidance on developing your application 13

New infrastructure (relates to merit criteria 1)	13
Collaborative applications (relates to merit criteria 2)	13
Funding and budgets (relates to merit criteria 3)	14

Accessibility of infrastructure (relates to merit criteria 4)	17
---	----

Conflicts of interest	17
-----------------------	----

6. Application process **18**

Stage 1: Expression of Interest	18
---------------------------------	----

Stage 2: Full application	18
---------------------------	----

Who will assess applications?	19
-------------------------------	----

7. Managing your grant **20**

General obligations	20
---------------------	----

Reporting requirements	20
------------------------	----

Site visits	20
-------------	----

Completing your project	21
-------------------------	----

Evaluation	21
------------	----

Privacy	21
---------	----

Appendix 1: Technology Readiness Level and Commercial Readiness Index Descriptions **22**

Technology readiness levels	22
-----------------------------	----

Commercial readiness index	24
----------------------------	----

Appendix 2: Eligible organisations **25**

How to use these guidelines

This guide provides an overview of the Department of Planning and Environment's Clean Technology Research, Development and Commercialisation Grants (the grants) including organisations that are eligible to apply and the types of infrastructure that will be funded. It outlines how your Expression of Interest (EOI) and if invited, your full application, will be assessed and what to expect if you are awarded a grant. It also outlines the eligibility and merit criteria for EOI applications. Additional guidance and criteria for the full application stage will be provided to successful EOI applicants.

The department may publish frequently asked questions (FAQs) about the grants on our [website](#) as they arise. The FAQs should be read in conjunction with these guidelines.

Enquiries or questions

For enquiries or questions related to these guidelines, the grants, or the [Net Zero Industry and Innovation Program](#), please contact the department at: netzeroindustry@environment.nsw.gov.au.

Glossary

Applicant – includes the lead organisation and all organisations in any collaboration and/or consortium applying for the grants. All questions and information relating to the applicant in the EOI or full application refers to all members of consortiums or groups.

Application – either an EOI or full application for the grants, via the relevant form.

Clean technology – technologies that substantially reduce greenhouse gas emissions, including low emission technologies. 'Technologies' refers to processes, products and services including hardware, software and business model innovations.

Department – the NSW Department of Planning and Environment.

Grant – Clean Technology Research, Development and Commercialisation Infrastructure Grants.

Lead applicant – the applicant organisation submitting the EOI, on behalf of themselves or a consortium or group. The department will only enter into a funding agreement with the lead applicant.

Project – the research, development and commercialisation infrastructure project applying for grant funding.

Research, development and commercialisation infrastructure – infrastructure used for the research and/or development and/or commercialisation of clean technologies. For further detail see [Definition of infrastructure](#).

Infrastructure – new or improved assets, facilities or services which support the acceleration of research, development and commercialisation of innovative clean technologies in NSW.

1. Clean Technology Research, Development and Commercialisation Infrastructure Grants

The NSW Government has established the Clean Technology Research, Development and Commercialisation Infrastructure Grants (the grants) to support the development of world-leading research, development and commercialisation infrastructure that can accelerate the NSW transition to net zero emissions by 2050. Funded by the Climate Change Fund, these competitive grants will be a flagship for research, development and commercialisation infrastructure in NSW.

The grants prioritise investment in sectors and technologies where the potential for scale-up and commercialisation is high. Funding will support the research, development and commercialisation of infrastructure that supports the next wave of low emissions technologies.

The Net Zero Industry and Innovation Program

The *NSW Government's Net Zero Plan Stage 1: 2020-2030* (Net Zero Plan) sets out the state's ambitious agenda to reduce emissions by 50% by 2030 and achieve net zero emissions by 2050.¹

The *Net Zero Industry and Innovation Program* forms part of the Net Zero Plan and focuses on major opportunities to partner with industry to reduce emissions and help NSW businesses prosper in a low carbon future.² The program has 3 areas of focus:

- **Clean Technology Innovation** – supporting the development and continued innovation of emerging clean technologies
- **New Low Carbon Industry Foundations** – laying the foundations for low emissions industries by building enabling infrastructure and increasing the capability of our supply chains
- **High Emitting Industries** – deploying low emissions technologies and infrastructure to reduce the emissions associated with existing, high emitting industrial facilities.

Together, these 3 focus areas and their delivery streams cover the technology development lifecycle from research through to deployment.

¹ NSW Government, March 2020, [Net Zero Plan Stage 1: 2020-2030](#)

² NSW Government, November 2021, [Net Zero Industry and Innovation Program](#)

Clean Technology Innovation

As global demand for low emissions technologies and modernised industrial processes grows, NSW has an opportunity to position itself as a world leader in the manufacture and export of low emissions products and services.

Focusing on clean technology innovation will create an environment where innovation is supported so new technologies are domestically developed, tested, and used in the market. NSW is ideally positioned to create an ecosystem where clean technologies are rapidly developed, repeatedly innovated and scaled-up to meet our emissions targets. This will enable knowledge sharing, capacity building and collaboration between researchers, industry, and government.

The Clean Technology Innovation focus area will provide support for new technologies at different stages of development, from research through to commercialisation and distribution, via 5 streams:

1. Establishment of a NSW Decarbonisation Innovation Hub (\$15 million)
2. **Research, Development and Commercialisation Infrastructure Funding (\$45 million)** – these grants
3. Research and Development Grants (\$40 million)
4. Grants for Commercialisation and Pilots (\$75 million)
5. Low Emissions Specifications and Unlocking Sustainable Finance (up to \$20 million).

Priority areas

The technology innovations supported through the Clean Technology Innovation focus area will be guided by the NSW Office of the Chief Scientist and Engineer's *Decarbonisation Innovation Study*.³ The decarbonisation priority areas outlined in this study are:

- **electrification and energy systems** – accelerating renewable energy solutions and supporting the uptake of electrification in other sectors
- **land and primary industries** – coordinating and aligning efforts in the next wave of sustainable primary industry practices as the sector contributes a significant proportions of NSW emissions
- **power fuels including hydrogen** – growing an environmentally sustainable NSW power fuels industry and unlocking decarbonisation opportunities for many high emitting and hard-to-abate sectors beyond 2030.

This grants program will prioritise investments in these 3 areas. The *Decarbonisation Innovation Study* will be updated on a biennial basis. Applicants are strongly encouraged to review the current Decarbonisation Innovation Study to ensure your project aligns with the decarbonisation priority areas.

³ The Office of the NSW Chief Scientist and Engineer (OCSE), August 2020, [Opportunities for Prosperity in a Decarbonised and Resilient NSW: Decarbonisation Innovation Study](#)

Alignment with government initiatives

Where applicable, applicants should consider how their proposal aligns with complementary government objectives and policies including, but not limited to:

- [NSW Net Zero Plan Stage 1: 2020-2030](#)
- [NSW Net Zero Industry and Innovation Program](#)
- [NSW Office of the Chief Scientist and Engineer](#)
- [NSW Hydrogen Strategy](#)
- [NSW Government Accelerating R&D in NSW: Turning ideas into jobs](#)
- [Commonwealth Government Technology Investment Roadmap](#)
- [National Collaborative Research Infrastructure Strategy](#).

2. Important information about the grants

Grant objectives

The purpose of these grants are to invest in infrastructure that facilitates the research, development and commercialisation of innovative clean technologies that have the potential to significantly reduce emissions in high-emitting and hard-to-abate sectors in NSW and are aligned to the priority areas identified in the *Decarbonisation Innovation Study*. The objectives of these grants are to fund infrastructure which:

- supports the acceleration of clean technology research, development, and commercialisation where a strong commercialisation potential has been identified
- enhances domestic capabilities to innovate clean technologies which do not yet exist
- promotes collaboration between industry, researchers, and universities.

Definition of infrastructure

Infrastructure is broadly defined under these grants as new or improved assets, facilities or services which help accelerate research, development and commercialisation of innovative clean technologies and business models in NSW.

Grants are available for the development of new infrastructure, or upgrades to existing infrastructure, that will support the accelerated innovation of clean technologies.

Grants will support the development of infrastructure that supports the advancement of clean technologies that achieve a Technology Readiness Level (TRL) of 6-9 and/or a Commercial Readiness Index (CRI) 2-3. Refer to [Appendix 1](#) for description on these readiness levels.

Types of eligible infrastructure

The 4 types of infrastructure eligible for these grants are:

1. **new or upgraded major innovation infrastructure** – including testing and demonstration facilities, laboratories, and technological workshops
2. **e-infrastructure to generate data** – such as computing systems, facilities, and software for the support of research and innovation. This type of infrastructure may enable computer testing, simulation, and data analysis as well as sharing of information with the research community through cloud technology
3. **physical infrastructure to store data** – including the storage of scientific data through physical databases and archives

4. **other infrastructure that supports significant decarbonisation** – other types of infrastructure that do not fall within the technology types above but support the decarbonisation of high-emitting and hard-to-abate sectors in NSW.

Figure 1 provides examples of the types of projects that could be eligible under each of these infrastructure types.

It is important that infrastructure seeking funding through these grants align with the priority areas outlined in the *Decarbonisation Innovation Study*.

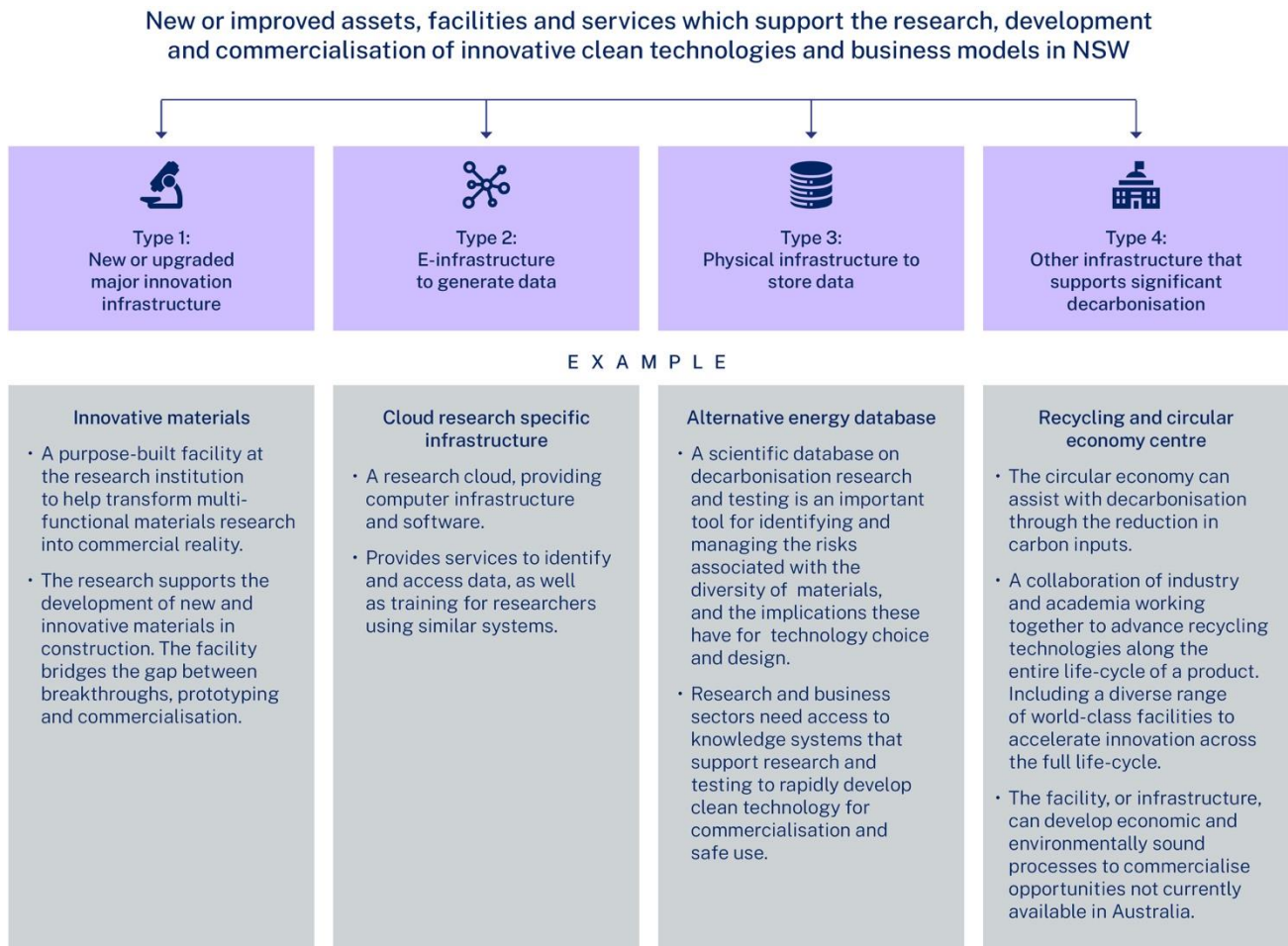


Figure 1: Examples of types of infrastructure that would be eligible under these grants

Funding availability

This is a \$45 million grants program. Applicants must commit to the ongoing management and use of infrastructure funded through these grants. Table 1 provides the minimum and maximum funding available for individual projects.

Minimum grant amount	Maximum grant amount
\$1 million	\$10 million

Table 1: Funding available

Grants will only be awarded to projects that can demonstrate a minimum of 1:1 co-contribution funding from other sources. Co-contributions must include a cash component and can include in-kind contributions. Higher cash contributions will be considered favourably during assessment.

How to apply

The grants application and assessment process will consist of 2 stages:

Stage 1: Expression of Interest (EOI)

Stage 2: Full application.

This guide details the eligibility and merit criteria for the EOI stage.

Successful EOIs will be invited to submit a full application. When invited, applicants will be provided with additional information for the full application stage including criteria and application templates.

The application and assessment process for Stages 1 and 2 is outlined in Figure 2. Up-to-date information, including key dates, is available on our [website](#).

For further information about the application and assessment processes, see the [application process](#).

Successful projects are expected to commence within 3 months of signing a funding agreement.

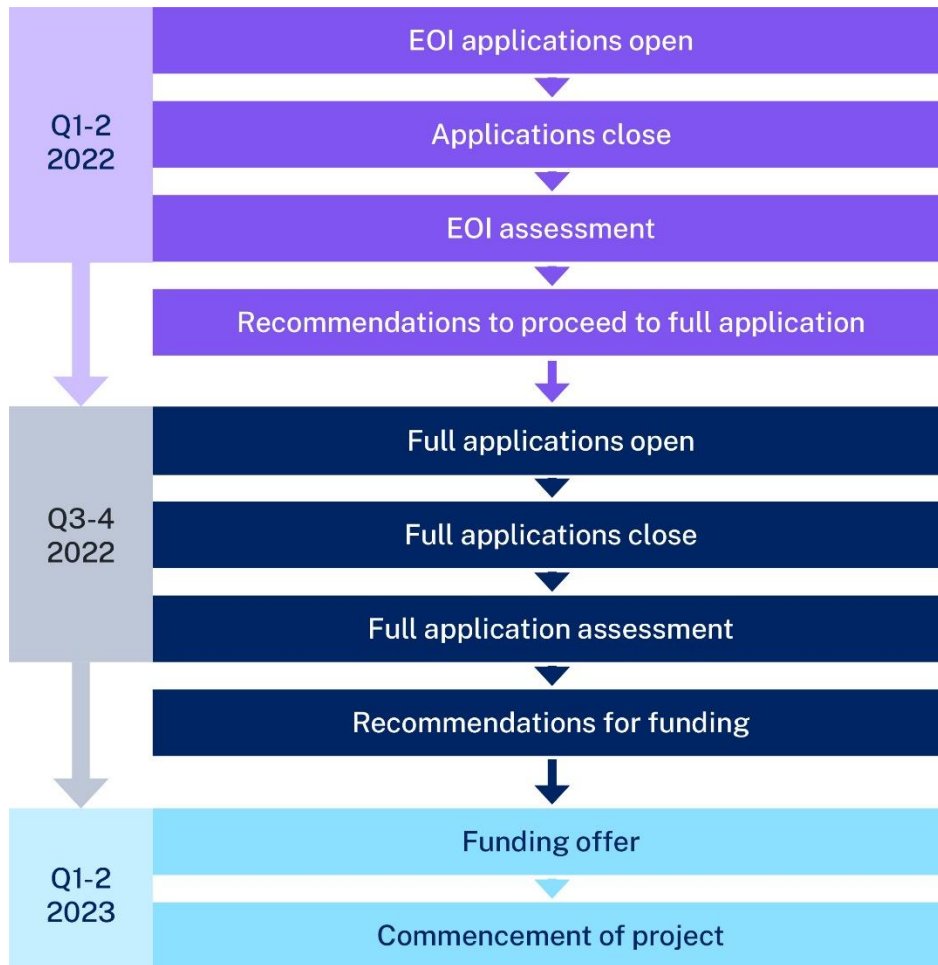


Figure 2: Application and assessment process timeframes

3. Eligibility criteria

To be eligible for grant funding, an application must meet all eligibility criteria outlined below. Each application must have one lead applicant. The department will only enter into a funding agreement with the lead applicant assessed by the department during the application process.

If at any stage of the application process, the funding recipient is expected to be a different legal entity to the lead applicant, the lead applicant must clearly specify this in its application and provide all necessary information requested to evidence this.

The department reserves the right to not fund an application if the lead applicant is unable to support these claims with sufficient evidence.

Only applications that are assessed as satisfying the eligibility criteria will proceed to be assessed against the merit criteria.

Eligibility criterion 1: Eligible applicants

To be eligible for funding, the lead applicant must:

- have an Australian Business Number
- be an eligible organisation as outlined in [Appendix 2](#)
- hold all insurances required by law, including \$20 million public liability insurance and workers compensation
- materially comply with all:
 - obligations under employment contracts, industrial agreements, and awards
 - codes of conduct and practice relevant to conditions of service and to the relations between the applicant and the employees employed by the applicant
 - applicable Workplace Health and Safety legislation.
- not be subject to any insolvency event, including the subject of an order or resolution for winding up or dissolution (other than for the purposes of reconstruction or amalgamation) or the appointment of a receiver, liquidator, administrator or similar
- not be listed on the Australian Department of Foreign Affairs and Trade sanctions list⁴
- disclose any legal proceedings or investigation, including litigation, arbitration, mediation or conciliation that are taking place, pending or (to the best of the applicant's knowledge, after having made proper enquiry) threatened against the applicant or a related body corporate (as defined in the Corporations Act)
- disclose all Australian Government and Australian state government, territory government grants applied for in relation to the project including history of grant funding over the last 5 years (including both successful and unsuccessful applications).

⁴ Australia and sanctions, October 2021, [Department of Foreign Affairs and Trade](#)

Eligibility criterion 2: Eligible projects

To be eligible for funding, the lead applicant must confirm that the project:

- is based in NSW
- is applying for funding between \$1 million and \$10 million
- supports the advancement of clean technologies at TRL 6-9 and/or have a CRI between 2-3
- is one of the following specific infrastructure types that supports the rapid development of clean technology:
 - new or upgraded major innovation infrastructure
 - e-infrastructure to generate data
 - physical infrastructure to store data
 - other infrastructure that supports that supports significant decarbonisation.

Important Notes:

Applicants wishing to apply under ‘other infrastructure that supports significant decarbonisation’, should contact the department before submitting an EOI to discuss if the project will be considered under these grants.

Eligibility criterion 3: Criticality of grant funding

To be eligible for funding, the lead applicant must demonstrate the project:

- would not proceed without NSW Government funding
- has co-contribution funding arrangements of at least 1:1 between grant funding (from this grant) and other sources (eg. the applicant, collaborators, private or other public organisations). Co-contribution funding must include a cash component. Higher cash contributions will be considered favourably.

4. Merit criteria

This section sets out the merit criteria that applications will be assessed against, including the weighting of each criterion and how applicants will be expected to respond to them. Applicants are encouraged to consider not only the justification for the direct benefits of undertaking the project, but also the enabling potential that the project will provide to the innovation of future technologies that can support decarbonisation.

The information set out in [Part 5](#) will help applicants develop their responses to some of the merit criteria. Applicants are strongly advised to read that section prior to preparing their submission.

To be competitive in the EOI stage, applications must address all merit criteria. Applications that progress to the full application stage will be provided with details of the full application requirements including criteria. Applicants be required to provide detailed responses to all criteria.

Merit criterion 1: Technical and commercial feasibility

This criterion is worth 30% of the assessment score.

Applications will be assessed against each of the following criteria related to the projects technical and commercial feasibility. Applicants must:

- provide an overview of the project including the proposed infrastructure, the clean technologies, stakeholder groups and high-emitting industry sectors it will support, and the estimated emissions reduction potential
- provide evidence of the demand for the proposed infrastructure including, but not limited to, market research validating your value proposition and an indication of how the infrastructure will address a current market gap/need in NSW
- outline the technical feasibility of the proposed infrastructure including evidence of the infrastructure's applicability to the clean technologies and industry sectors it will support and its projected lifespan beyond the scope of this project
- outline how the project will protect and manage intellectual property (IP) generated through use of the infrastructure (both internal and external users). Include details on policy, guidelines and processes that will be used to ensure IP is appropriately protected
- list key technical and delivery risks associated with this project including proposed mitigation measures.

Merit criterion 2: Capability and capacity

This criterion is worth 25% of the assessment score.

Applications will be assessed against each of the following criteria related to the applicant's capability and capacity to deliver the project and administer the infrastructure. Applicants must:

- outline the lead applicants demonstrated prior experience in designing, developing and delivering large-scale clean technology infrastructure projects
- outline the lead applicant's relevant prior experience that demonstrates its capability to manage and administer the proposed infrastructure as a commercial business or enterprise once operational
- provide an organisational structure and list the key personnel who will be involved in the design, development, delivery and ongoing management of the infrastructure as a commercial business or enterprise. Attach a short CV for all key personnel outlining their relevant expertise and role in the project delivery
- provide details of any partner organisations that will be collaborating on this project. Outline the role of each partner organisation and provide a diagram of the proposed governance and management arrangements. Attach a letter of support from each partner organisation.

Important note: The NSW Government encourages collaborative applications that demonstrate multi-disciplinary expertise and financial co-contributions.

Merit criterion 3: Financial feasibility

This criterion is worth 25% of the assessment score.

Applications will be assessed against each of the following criteria related to the financial feasibility of the project. Applicants must:

- provide a high-level budget for this project including:
 - funding from this grant and co-contributions from all other sources
 - proposed project expenditure profile
 - an indicative budget outlining an initial estimate of the capital expenditure, employee and operating costs and expected revenue opportunities.
- outline the financial feasibility of the project including the proposed revenue or funding model for ongoing operation of the infrastructure over its projected life expectancy
- explain why NSW Government funding is essential to support the implementation of this project and how a minimum of 1:1 co-contribution will be achieved.

Merit criterion 4: Accessibility and alignment to grant priorities

This criterion is worth 20% of the assessment score.

Applications will be assessed against each of the following criteria related to the accessibility of the infrastructure and alignment with government priorities. Applicants must:

- outline how this project will support the decarbonisation of high-emitting and hard-to-abate sectors in NSW to 2030 and beyond
- outline the forecast economic and environmental benefits to the NSW economy including productivity, competitiveness, emissions abatement potential of future technologies that the infrastructure supports and how this will be monitored and reported on
- outline how the project will ensure the infrastructure is made widely accessible for use by external organisations including but not limited to research institutions, industry and innovators
- outline how the project aligns with the following objectives of the grants:
 - support the acceleration of clean technology research, development and commercialisation
 - enhance domestic capabilities to innovate clean technologies which do not yet exist
 - promote collaboration between industry, researchers and universities.
- outline how the infrastructure will be promoted to ensure opportunities for collaboration between research institutions, industry and innovators
- outline how the project will support, integrate with and develop clean technology or industry ecosystems.

5. Guidance on developing your application

All applicants should consider the following information when preparing an application.

New infrastructure (relates to merit criteria 1)

Applicants proposing to construct new infrastructure or facilities will need to provide project timeframes for the planning, development and commencement of operations. Applicants must also note any risks related to obtaining approvals from relevant bodies including potential delays in construction. The risk mitigation strategies should highlight experience in development of facilities of a similar nature.

Collaborative applications (relates to merit criteria 2)

Collaboration between research institutes, industry and innovators is critical to accelerating the decarbonisation of high-emitting and hard to abate sectors in NSW. The NSW Government encourages collaborative applications that demonstrate multi-disciplinary expertise and financial co-contributions.

At the EOI stage, applicants are required to detail the structure of any collaboration, consortium or group including outlining the project's and ongoing infrastructure's governance and management structure. Further details on this will be required from invited applicants at the full application stage.

At the EOI stage, a letter of support is required from each member of the group. Letter of support or agreement should include:

- details of the partner organisation
- an overview of how the partner organisation will work with the lead applicant and any other partner organisations in the group to successfully complete the project
- details of any funding contributions the partner organisation will provide
- an outline of the partner organisation's relevant experience and/or expertise
- the roles/responsibilities of the partner organisation and the funding and/or resources they will contribute
- details of key contacts for that organisation and any staff that will be involved in the project.

At the full application stage, the applicant must provide full details of the project's governance arrangements. Signed formal agreements between all parties involved in the project will be required prior to executing the funding agreement.

Funding and budgets (relates to merit criteria 3)

Applicants are required to provide a preliminary budget in their EOI and, if invited, a detailed financial proposal and budget in their full application. When assessing applications, the department may engage external independent advisors to provide advice on whether the financial proposal and budget is deemed sufficient given the specific context of each application (see [application process](#)).

As part of the full application, invited applicants are required to outline a proposed grant payment profile that aligns with the needs of the project. The payment profile is flexible and subject to negotiation for successful applicants. However, applicants should be aware that funding will not be provided in full upon executing the funding agreement. The department will make an initial payment on execution of the funding agreement. Subsequent payments will be provided based on the project's forecast eligible expenditure. The timing of subsequent payments will be negotiated with successful applicants.

Successful applicants will have 30 days from the date of written offer to negotiate and execute the funding agreement with the department. The offer may lapse if both parties do not sign the funding agreement within this time. Under certain circumstances, the department may extend this period.

Payments are subject to satisfactory progress on the project and will be adjusted for unspent amounts from previous payments. Successful applicants will be required to provide financial reports detailing project expenditure prior to each payment (see [reporting requirements](#)).

A 'value-for-money' assessment will be made as part of the assessment process for both EOI and full application. This assessment will be based on the proposed activities, expected outcomes, project feasibility and amount of funding requested.

Co-contributions

Grants will only be awarded to projects that can demonstrate a minimum 1:1 matched funding co-contribution from other sources. Co-contributions must include a cash component but can include in-kind (non-financial) contributions. Higher cash contributions will be viewed favourably during assessment.

Only projects that can confirm co-contribution funding at the time of submitting the full application will be considered⁵ and applicants must ensure that any contractual milestones or obligations tied to those funds are aligned with their funding proposal.

⁵ This may include confirmation letters from funding bodies or private investors.

In-kind contributions

In-kind contributions are non-cash contributions towards the successful applicant's eligible project cost. For in-kind contributions to count toward the eligible project cost they must directly relate to the project. They may include:

- staff salaries
- access to services such as coaching, mentoring or business planning
- access to resources such as research, development and commercialisation infrastructure or ICT software.

The department reserves the right to request successful applicants increase their cash contribution to the project if the reported value of in-kind contributions is not consistent with current market rates or is otherwise unreasonable.

Eligible expenditure

To be eligible, expenditure must:

- be expenditure directly related to undertaking the project
- be incurred by the applicant within the project duration, with the exception of audit costs
- be a direct cost of the project and not be provided for the benefit or profit of related bodies
- meet the conditions set out in these guidelines and the funding agreement.

Eligible expenditure is calculated as the GST inclusive amount less any GST credits the recipient or its representative member is entitled to claim.

Where equipment and resources purchased to undertake the project are also used for activities unrelated to the project, the total cost of those resources considered eligible expenditure may be adjusted proportionally.

Successful applicants must keep payment records of all eligible expenditure and be able to explain how the costs relate to the agreed project activities. The department may ask successful applicants to provide records of the expenditure they have paid. If successful applicants do not provide these records when requested, their expense may not qualify as eligible expenditure.

Capital expenses

Capital expenditure on new and/or upgraded infrastructure are funded under these grants. All applicants are required to provide an initial estimate of the project's capital expenditure at the EOI stage. Applicants will be expected to provide a detailed breakdown of the capital expenditure with evidence such as quotes from suppliers and contractors at the full application stage.

Employees and contractors

Grant funds can be used to employ project staff critical to the delivery of the project. Grant funds cannot be used to cover the labour costs of existing positions undertaking other work within the applicant's organisation. The department does not consider labour expenditure for leadership staff (eg. CEOs and CFOs) as eligible expenditure.

Grant funds may be used to engage contractors or consultants to manage the project or deliver specific components of the project. All contractors and consultants must be chosen on their merits and ability to effectively deliver the work.

For periods of the project that do not make a full financial year, the claimable salary amount must be adjusted proportionally.

The Australian Taxation Office has a useful tool to help you determine if your project is hiring an employee or a contractor.⁶

Administration

Grant funds may be spent on administrative costs directly related to the project. Administration costs may include office related overheads associated directly with the delivery of the project (eg. stationery, internet costs and accounting fees such as including independent certification of project finances) where those costs are not currently being supplied or funded by the applicant.

Administration costs related to the project can be included in the grant funding. Applicants must submit a breakdown of these costs and evidence to support the request. It is the discretion of the department whether to accept such requests and fund accordingly.

Ineligible expenditure

Grant funding does not cover:

- expenditure on the acquisition of land for a project
- expenditure that does not directly support the successful completion of the project
- ongoing operational expenses
- exclusive access to the applicant only
- salaries for positions that have already been accounted for in organisational budgets
- business-as-usual staff costs unrelated to the project, for example redundancy or retirement benefits, workers compensation payments, professional fees or memberships
- activities carried out or committed to before the grant is offered and accepted
- legal costs associated with a consortium, disputes or funding arrangements not agreed to as part of this funding agreement
- costs associated with intellectual property applications such as trademark, patents or copyright.

⁶ Australian Taxation Office, September 2021, [Employee or contractor](#)

Accessibility of infrastructure (relates to merit criteria 4)

Funded projects must ensure that infrastructure is made publicly available to research institutes, industry and innovators. Applicants must confirm the funded infrastructure will have open and supportive access arrangements in place with appropriate staffing.

The full application stage will require applicants to provide detailed evidence on how the infrastructure will be promoted, accessed, supported and priced. Applicants will be assessed on how collaborations and accessibility form part of the delivery of the project.

Conflicts of interest

Conflicts of interest can affect the performance of the grant and public confidence in the use of public money by the department. Applicants or their advisors may have a conflict of interest or perceived conflict of interest, if you or any of your board, management or staff:

- have a professional, commercial or personal relationship with a party who is able to influence the application assessment process
- have a relationship with, or interest in, an organisation which is likely to interfere with or restrict the applicant from carrying out the proposed activities fairly and independently
- has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives funding under these grants.

You, including advisors and consultants engaged on this project, must declare, as part of your application, any perceived or existing conflicts of interests or that, to the best of your knowledge, there is no conflict of interest.

If you later identify an actual, apparent, or perceived conflict of interest, you must inform the department in writing immediately.

6. Application process

The application and assessment process consists of 2 stages: an initial EOI, followed by full application. Shortlisted EOIs will be invited to submit a full application.

Stage 1: Expression of Interest

The steps of the EOI process are outlined in Figure 1.



Figure 3: Expression of Interest process

A maximum of 3 EOIs may be submitted by each applicant.

Following completion of your EOI, you will receive an automated email to confirm your submission has been received. If you do not receive an email within 2 working days, please contact the department by email or phone to confirm receipt.

EOIs will be assessed on a competitive basis. If your EOI is not successful, department staff can provide feedback on your EOI upon request. EOI outcomes cannot be appealed.

Stage 2: Full application

If your EOI is successful, you will be invited to submit a full application. A more detailed response to each of the merit criteria will be required at the full application stage. Details of the full application requirements will be provided to successful EOI applicants. In addition, applicants may be requested to provide the following information:

- a project business plan including project management and procurement plans, a detailed budget and budget management plan and risk register
- evidence that the proposed infrastructure addresses a market need and is required to support emerging clean technologies and accelerate the decarbonisation of high-emitting and hard-to-abate NSW sectors
- evidence of collaboration agreements, governance arrangements and key personnel to commence the project
- an evaluation framework and plan for reporting on objectives and outcomes associated with the project.

The department will provide the necessary templates to support applicants prepare the requested information.

If you are a successful applicant, a funding agreement will be prepared based on the information provided in the full application. The department may publish non-sensitive details of successful projects on our website. This information may include:

- name of your organisation and any collaborators
- title of the project
- description of the project and its objectives
- amount of grant funding awarded.

If you are unsuccessful, the department will advise you in writing and provide an opportunity to receive feedback on your application. Full application outcomes cannot be appealed.

Who will assess applications?

An evaluation committee will be established for the assessment of applications at both the EOI and full application stage. The department may engage external technical experts/advisors to inform the assessment process. Any experts/advisors will be independent of the department and will be required to meet all governance requirements of the NSW Government and the application process.

The evaluation committee will make recommendations to the department on which applications best meet the required criteria and objectives of these grants. These recommendations will inform the decision to award funding.

The department may seek advice from the Net Zero Emissions and Clean Economy Board.

7. Managing your grant

General obligations

Signing a funding agreement commits the applicant to fulfilling the obligations and requirements the agreement outlines. The standard conditions of a funding agreement will not be changed at the request of an applicant. Some key requirements relating to funding agreements are outlined below (this list is not exhaustive):

- comply with all conditions contained in the funding agreement
- provide evidence of appropriate insurance coverage
- commencement of your project within 3 months of receiving funding
- seek prior approval from the department to alter proposed outputs, objectives or timeframes
- provide progress and final reports in accordance with the department's reporting requirements
- include the relevant financial reporting with all progress and/or final reports
- acknowledge the department's support in all promotional material or any public statements about your project in accordance with the department's requirements.

Reporting requirements

Successful applicants are required to prepare and submit milestone reports periodically throughout the project. The timeframe for reporting and payments will be agreed with department staff when the grant is awarded. These will be outlined in a funding agreement. Generally, milestone reports are required every 6 months, however this will be considered on a case-by-case basis.

Each milestone report requires the successful applicant to provide details on activities, achievements and expenditure. The amount of detail required in each milestone report will be relative to the project size, complexity and grant amount. This report will be reviewed by a representative of the department with relevant technical expertise.

To ensure projects funded by these grants achieve their objectives, the department will require ongoing reporting from the successful applicants beyond the duration of the grant funding. Reporting arrangements will be agreed with applicants prior to signing a funding agreement.

Site visits

The department may conduct site visits during the project and at project completion to review compliance with the grant agreement and verify information provided in the milestone reports. The department will provide successful applicant with reasonable notice of any site visits.

Completing your project

When a project is complete, a final report of the funding provided is required to be submitted that outlines the project outcomes and achievements. Final reports may need to have financial statements independently certified. Department staff will provide further information as part of all funding agreements.

Evaluation

The department will evaluate the grant program and measure how well the outcomes and objectives have been achieved. To guide evaluation the department may use information from the EOI and full application submissions, project milestone and final reports, site visits and interviews with successful applicants, consortium members and other key stakeholders.

The department may contact successful applicants up to 5 years after project completion for more information to assist with this evaluation.

Privacy

We use the information you supply to us for processing and assessing your application. While we do not publicly release your application as a matter of policy, we may be required to do so under the *Government Information (Public Access) Act 2009* or other lawful requirement.

The department may also disclose information you supply to us for the purpose of evaluating and/or auditing this grants program. If you require strict commercial and/or personal confidentiality, you should address this in your application.

More information on the [Government Information \(Public Access\) Act 2009](#) is available on the website.

Appendix 1: Technology Readiness Level and Commercial Readiness Index Descriptions

Technology readiness levels

Only projects in supporting technologies within the TRL 6-9 are eligible for funding under this grant.

Level	Summary
1	Basic principles observed and report: Transition from scientific research to applied research. Essential characteristics and behaviours of systems and architectures. Descriptive tools are mathematical formulations or algorithms.
2	Technology concept and/or application formulated: Applied research. Theory and scientific principles are focused on a specific application area to define the concept. Characteristics of the application are described. Analytical tools are developed for simulation or analysis of the application.
3	Analytical and experimental critical function and/or characteristic proof of concept: Proof of concept validation. Active research and development is initiated with analytical and laboratory studies. Demonstration of technical feasibility using breadboard or brassboard implementations that are exercised with representative data.
4	Component/subsystem validation in laboratory environment: Standalone prototyping implementation and test. Integration of technology elements. Experiments with full-scale problems or data sets.
5	System/subsystem/component validation in relevant environment: Thorough testing of prototyping in representative environment. Basic technology elements integrated with reasonably realistic supporting elements. Prototyping implementations conform to target environment and interfaces.
6	System/subsystem model or prototyping demonstration in a relevant end-to-end environment: Prototyping implementations on full-scale realistic problems. Partially integrated with existing systems. Limited documentation available. Engineering feasibility fully demonstrated in actual system application.

Level	Summary
7	System prototyping demonstration in an operational environment: System prototyping demonstration in operational environment. System is at or near scale of the operational system with most functions available for demonstration and test. Well integrated with collateral and ancillary systems. Limited documentation available.
8	Actual system completed and qualified through test and demonstration in an operational environment: End of system development. Fully integrated with operational hardware and software systems. Most user documentation, training documentation, and maintenance documentation completed. All functionality tested in simulated and operational scenarios. Verification and Validation (V&V) completed.
9	Actual system proven through successful operations: Fully integrated with operational hardware/software systems. Actual system has been thoroughly demonstrated and tested in its operational environment. All documentation completed. Successful operational experience. Sustaining engineering support in place.

Table 2: Technology Readiness Level descriptions

See [ARENA’s Technology Readiness Levels for Renewable Energy Sectors](#), table 1, for further information.

Commercial readiness index

Only projects in supporting technologies within the CRI 2-3 are eligible for funding under this grant.

Level	Summary
1	Hypothetical commercial proposition: Technically ready – commercially untested and unproven. Commercial proposition driven by technology advocates with little or no evidence of verifiable technical or financial data to substantiate claims.
2	Commercial trial: Small-scale, first of a kind project funded by equity and government project support. Commercial proposition backed by evidence of verifiable data typically not in the public domain.
3	Commercial scale up occurring driven by specific policy and emerging debt finance. Commercial proposition being driven by technology proponents and market segment participants – publicly discoverable data driving emerging interest from finance and regulatory sectors.
4	Multiple commercial applications becoming evident locally although still subsidised. Verifiable data on technical and financial performance in the public domain driving interest from variety of debt and equity sources however still requiring government support. Regulatory challenges being addressed in multiple jurisdictions.
5	Market competition driving widespread deployment in context of long-term policy settings. Competition emerging across all areas of supply chain with commoditisation of key components and financial products occurring.
6	"Bankable" grade asset class driven by same criteria as other mature energy technologies. Considered as a "Bankable" grade asset class with known standards and performance expectations. Market and technology risks not driving investment decisions. Proponent capability, pricing and other typical market forces driving uptake.

Table 3: Commercial Readiness Index descriptions

See [ARENA's Commercial Readiness Index for Renewable Energy Sectors](#), table 1, for further information.

Appendix 2: Eligible organisations

As a part of the application, the lead applicant must demonstrate they are one of the following organisation types:

- an Australian entity duly incorporated under the [Corporations Act 2001 \(Cth\)](#) (Corporations Act) and hold and comply with all necessary authorisations that are material to the conduct of the business of the applicant(s)
- a public or private university duly established or recognised by or under the law of the Australian Government, an Australian state or territory government and/or registered with the [Tertiary Education Quality and Standards Agency](#)
- an Australian Government entity under section 10 of the [Public Governance, Performance and Accountability Act 2013 \(Cth\)](#)
- an Australian state or local government body corporate, or a subsidiary of an Australian state or territory-owned body corporate
- an Australian state, territory or local government.

Note: In some limited circumstances, a legal entity other than that listed above may be accepted as an eligible applicant. Any other entity that wants to apply for these grants should contact the department prior to the lodgement of applications.

Net Zero Plan



For more information

For more information about Net Zero Industry and Innovation and the Clean Technology Innovation grants [visit our website](#) or email us at netzeroindustry@environment.nsw.gov.au.