

ARENA

ADVANCING RENEWABLES PROGRAM PROGRAM GUIDELINES

JULY 2020

TABLE OF CONTENTS

EXECUTIVE SUMMARY	4
ADVANCING RENEWABLES PROGRAM	4
1.0 OVERVIEW	5
PURPOSE	5
OBJECTIVE AND OUTCOMES OF THE PROGRAM	5
COMMENCEMENT AND AUTHORITY FOR GUIDELINES	5
PROGRAM FUNDING	5
2.0 ELIGIBILITY CRITERIA	6
ELIGIBILITY CRITERION A - ELIGIBLE APPLICANT	6
ELIGIBILITY CRITERION B - ELIGIBLE ACTIVITY	6
ELIGIBILITY CRITERION C - TAKE PLACE IN AUSTRALIA	6
ELIGIBILITY CRITERION D - KNOWLEDGE SHARING	6
ELIGIBILITY CRITERION E - INTELLECTUAL PROPERTY	6
ELIGIBILITY CRITERION F - COMPLY WITH OTHER REQUIREMENTS	6
3.0 MERIT CRITERIA	7
MERIT CRITERION A - CONTRIBUTES TO THE PROGRAM OUTCOMES	7
MERIT CRITERION B - APPLICANT CAPABILITY AND CAPACITY	7
MERIT CRITERION C - ACTIVITY DESIGN, METHODOLOGY, RISK AND COMPLIANCE	8
MERIT CRITERION D - FINANCIAL VIABILITY AND CO-FUNDING COMMITMENT	8
MERIT CRITERION E - KNOWLEDGE SHARING	8
4.0 APPLICATION AND ASSESSMENT PROCESS	9
EXPRESSIONS OF INTEREST	10
FULL APPLICATION	10
HOW DO I SUBMIT A PROPOSAL?	11
HOW WILL MY PROPOSAL BE ASSESSED?	11
COLLABORATION AND WORKING UP PROPOSALS	11
PORTFOLIO APPROACH	12
RESUBMITTING REVISED PROPOSALS	12
COMPETITIVE PROCESS	12

5.0 FUNDING ARRANGEMENTS	13
NEGOTIATION OFFERS	13
FUNDING AGREEMENT	13
WHAT CAN I USE ARENA FUNDING FOR?	13
HOW DOES ARENA SHARE KNOWLEDGE AND PUBLISH ACTIVITY INFORMATION?	13
WORK HEALTH AND SAFETY	13
OTHER APPLICABLE REQUIREMENTS	13
6.0 FURTHER PROGRAM INFORMATION	14
CONFIDENTIALITY AND DISCLOSURE OF INFORMATION	14
REVIEW OF DECISIONS AND COMPLAINTS	14
CONFLICTS OF INTEREST	14
ARENA'S DISCRETION	14
NO CONTRACT OR LIABILITY	14
APPENDIX A TECHNOLOGY READINESS LEVELS	15
COMMERCIAL READINESS INDEX	17
APPENDIX B ELIGIBLE EXPENDITURE GUIDELINES	18
GENERAL PRINCIPLES	18
SPECIFIC ELIGIBILITY PROVISIONS	19
LABOUR	19
CONTRACT EXPENDITURE	19
EXPENDITURE PRIOR TO EXECUTION OF THE FUNDING ARRANGEMENT	20
OVERSEAS EXPENDITURE	20
ACCOUNTING SYSTEMS	20
GLOSSARY	21

EXECUTIVE SUMMARY

ADVANCING RENEWABLES PROGRAM

- (a) The Advancing Renewables Program (the Program) is delivered by the Australian Renewable Energy Agency (ARENA).
- (b) The total funding allocated for the Program is up to the total amount of funds uncommitted and available under s64 of the *Australian Renewable Energy Act 2011* (as amended) (the ARENA Act).
 - › The application and assessment process typically consist of two stages: an Expression of Interest (EOI) stage and a Full Application stage. Both stages involve an assessment against all eligibility and merit criteria.
- (c) At both stages:
 - › Proposals must meet eligibility criteria (see Part 2), and only those Proposals that do so will be further assessed
 - › Eligible Proposals will be assessed against merit criteria (see Part 3).
- (d) The Program Guidelines describe the procedures and requirements used by ARENA to determine which Proposals will receive funding. You should take note of these procedures and requirements before making a Proposal.
- (e) All Proposals must be completed online using ARENA's Grants Management System, ARENA Net, which is accessible from the Program webpage on ARENA's website arena.gov.au

PURPOSE

- 1.1 The Australian Renewable Energy Agency (ARENA) was established by the Australian Government on 1 July 2012 under the *Australian Renewable Energy Agency Act 2011* (as amended) (ARENA Act) with a remit to improve the competitiveness and increase the supply of renewable energy in Australia.
- 1.2 The purpose of these Program Guidelines (the Guidelines) is to provide a framework for the operation of the Advancing Renewables Program (the Program).
- 1.3 These Guidelines contain important information for Applicants on eligibility and merit criteria and the application and assessment process under the Program.
- 1.4 The Guidelines should be read in conjunction with the ARENA Investment Plan and any Funding Announcements published on ARENA's website arena.gov.au.

OBJECTIVE AND OUTCOMES OF THE PROGRAM

- 1.5 The Program Objective is to fund Activities that contribute to one or more of the following Program Outcomes:
 - (a) reduction in the cost of renewable energy
 - (b) increase in the value delivered by renewable energy
 - (c) improvement in technology readiness and commercial readiness of Renewable Energy Technologies
 - (d) reduction in or removal of barriers to renewable energy uptake
 - (e) increased skills, capacity and knowledge relevant to Renewable Energy Technologies.

COMMENCEMENT AND AUTHORITY FOR GUIDELINES

- 1.6 The Guidelines have been approved by the ARENA Board and Minister.
- 1.7 The Guidelines may be revoked or varied from time to time, in accordance with section 24 (1)(b) of the ARENA Act.
 - (a) This version includes minor variations approved by the Minister in June 2020 and takes effect for Proposals submitted from 1 August 2020.
 - (b) This version includes changes to section 1.10 to reflect an increase to the Program's funding envelope.
 - (c) This version includes minor variations approved by the Minister for Energy and Emissions Reduction in November 2020 and takes effect for Proposals submitted from 14 December 2020.
- 1.8 The ARENA Board is responsible for approving financial assistance under the Program and for ARENA entering into contracts to do so.
- 1.9 The ARENA Board may delegate responsibility for the Program in accordance with the ARENA Act.

PROGRAM FUNDING

- 1.10 The total funding allocated by ARENA to the Program is up to the total amount of uncommitted funds available under s64 of the ARENA Act from 2015 to 2022 and any other funding appropriated to ARENA.
- 1.11 Funding for the Program will be drawn from these funds until the funds are exhausted or the Program is closed.
- 1.12 ARENA Grants awarded to Activities under the Program are expected to be between \$100,000 and \$50 million, with Applicants typically expected to at least match the funding being sought from ARENA.
- 1.13 Funding provided through the Program will generally be in the form of Grants, which may include recoupable Grants, in accordance with the definition of financial assistance in part 4 of the ARENA Act.
- 1.14 ARENA will provide the minimum amount of funding to allow the Activity to proceed, and in certain cases, subject to all other parties to the Activity receiving a commercial return.

2.0

ELIGIBILITY CRITERIA

-
- 2.1 You must meet all of the eligibility criteria in this section to be an Applicant.
-

ELIGIBILITY CRITERION A - ELIGIBLE APPLICANT

- 2.2 To be an Applicant you must:
- (a) at the time of applying, hold an Australian Business Number (ABN) and
 - (b) unless applying for funding for Desktop Studies and Analysis,
 - › be (or warrant that you will be at the time of entering into a funding agreement) an Australian entity incorporated under the *Corporations Act 2001* (Cth) or
 - › be a Commonwealth entity prescribed as a government business enterprise by section 5(1) of the Public Governance, Performance and Accountability Rule 2014 or
 - › be an Australian State or Territory owned corporation or a subsidiary of an Australian State or Territory owned corporation or
 - › be an Australian local government or council.
-

ELIGIBILITY CRITERION B - ELIGIBLE ACTIVITY

- 2.3 You must be able to demonstrate to the satisfaction of ARENA (in its absolute discretion) that the Activity described in your Proposal:
- (a) involves a Renewable Energy Technology and/or has the potential to contribute to the Program Outcomes and
 - (b) does not include research (Technology Readiness Level (TRL) 1-3 - see Appendix A), or education and training of students. For the purpose of clarification, Activities can include research components to the extent these are part of a larger activity focused on the Development, Demonstration, Deployment or commercialisation of a Renewable Energy Technology.
-

ELIGIBILITY CRITERION C - TAKE PLACE IN AUSTRALIA

- 2.4 You must demonstrate to the satisfaction of ARENA that the Activity will primarily take place in Australia.
- 2.5 Any ARENA-funded expenditure incurred by you outside of Australia, other than for equipment or materials, must be limited to no more than 10 per cent of total ARENA funds, except in exceptional circumstances that must be justified by you and agreed to in writing by ARENA before submission of a Proposal.
-

ELIGIBILITY CRITERION D - KNOWLEDGE SHARING

- 2.6 You must agree to enter into an agreement with ARENA to publicly share knowledge and information about, and resulting from, the Activity described in your Proposal.
-

ELIGIBILITY CRITERION E - INTELLECTUAL PROPERTY

- 2.7 You must warrant your ownership of and access to, or the beneficial use of, any intellectual property necessary to carry out the Activity.
-

ELIGIBILITY CRITERION F - COMPLY WITH OTHER REQUIREMENTS

- 2.8 You must disclose any legal proceedings or investigation including litigation, arbitration, mediation or conciliation that to the best of your knowledge, after having made proper enquiry, are taking place, pending or threatened against you or a related body corporate as defined in the *Corporations Act 2001* (Cth).
- 2.9 You must not be named as an organisation that has not complied with the *Workplace Gender Equality Act 2012* (Cth).
- 2.10 You must not be named as an organisation on the list of persons and entities designated as terrorists. The list and more information on the anti-terrorism requirements are available at www.dfat.gov.au/international-relations/security/sanctions/consolidated-list
-

3.0

MERIT CRITERIA

- 3.1 Once a Proposal has been assessed to have satisfied the eligibility criteria, it will be assessed for overall value for money against the merit criteria. In assessing value for money, ARENA will need to be satisfied that the Activity is not commercially viable without ARENA support. ARENA will seek to provide the minimum financial assistance that is needed, and in the most appropriate form, in order for the project to deliver the desired outcome. All of the merit criteria are equally weighted.
- 3.2 This section provides non-exhaustive guidance on how you can demonstrate merit against each criterion. The amount of detail and supporting evidence you provide in your Proposal should correspond with the Activity size, complexity, stage (EOI or Full Application) and Grant amount requested.
- › improving the technology readiness and commercial readiness of a Renewable Energy Technology (see Appendix A), for example showing in an Activity plan how the Activity will advance the Renewable Energy Technology along an identified pathway to commercialisation
 - › reducing or removing barriers to renewable energy uptake such as by providing evidence to inform investors, industry practices, policy, regulatory or standards
 - › increasing skills, capacity and knowledge relevant to Renewable Energy Technologies
- (c) how well the Activity aligns with any specifications in a relevant Funding Announcement.

MERIT CRITERION A - CONTRIBUTES TO THE PROGRAM OUTCOMES

- 3.3 This criterion assesses how well the Activity contributes to the Program Outcomes, taking into account the investment focus areas in the Investment Plan and any relevant Funding Announcements and the priority low emissions technologies and emerging and enabling technologies outlined in the Technology Investment Roadmap, First Low Emissions Technology Statement - 2020 that support renewable energy technologies.
- 3.4 You can demonstrate merit by describing:
- (a) which, if any, of the investment focus areas in the Investment Plan the Activity addresses and how
 - (b) how the Activity contributes to the Program Outcomes, such as:
 - › reducing the cost of renewable energy in a way that has the potential to increase the supply of renewable energy in Australia over the long term, such as Activities focused on technology efficiency, cost improvements, or reducing balance of system, and operation and maintenance costs
 - › increasing the value delivered by renewable energy, such as Activities that create opportunities to bring together multiple value streams, develop or demonstrate application of renewable energy to a new market, improve the consumer or purchaser attractiveness of renewable energy, increase the ability to provide dispatchable electricity supply, or improve control and reliability of renewable energy

MERIT CRITERION B - APPLICANT CAPABILITY AND CAPACITY

- 3.5 This criterion assesses the capability and capacity of the Applicant and Activity Partners to deliver the Activity.
- 3.6 You can demonstrate merit by describing:
- (a) your capability as it is relevant to the Activity, including:
 - › your management, commercial, professional and technical expertise, and that of your key personnel and Activity Partners
 - › your track record, and that of your Activity Partners and personnel, in delivering outcomes from similar activities on time and on budget
 - › your professional excellence and experience, as well as that of your Activity Partners, including any relevant accreditations, quality standards and benchmarks
 - (b) your capacity as it is relevant to the Activity, including:
 - › the resources, including personnel, physical resources and facilities, that you will use to deliver the Activity including confirmation that they will be available at the times necessary during the Activity to successfully achieve the proposed outcomes
 - › the nature and status of any agreements between Activity Partners.

MERIT CRITERION C - ACTIVITY DESIGN, METHODOLOGY, RISK AND COMPLIANCE

3.7 This criterion assesses:

- (a) how well designed and planned the Activity is, including whether it has clearly defined objectives and methodology, as well as your approach to identifying, managing and reporting the personnel, delivery, technical and financial risks of the Activity
- (b) Activity risk in terms of the likely success of the Activity, the achievement of intended outcomes that align with the Program Outcomes, investment focus areas in the Investment Plan and any relevant Funding Announcements
- (c) the risk of negotiating and executing a Funding Arrangement which is acceptable to ARENA
- (d) compliance with any other requirements outlined in Part 5.

3.8 You can demonstrate merit by describing:

- (a) the technical design and delivery methodology of the Activity
- (b) a well-articulated plan for the Activity
- (c) key personnel, delivery, technical and financial risks of the Activity and how these will be managed
- (d) how you and the Proposal meet the requirements outlined in Part 5.

MERIT CRITERION D - FINANCIAL VIABILITY AND CO-FUNDING COMMITMENT

3.9 This criterion assesses your financial capacity to deliver the Activity; whether the Activity is commercially viable without ARENA funding; whether the amount of ARENA funding sought (and the form in which it is to be provided) and the total cost of the Activity is appropriate. In doing so it assesses:

- (a) whether you and any Activity Partners have the financial capacity and appropriate levels of co-funding commitment to deliver the Activity successfully
- (b) the extent to which you or other Activity Partners are providing funding or in-kind support for the Activity
- (c) relevant industry benchmarks for the economics of a particular Activity
- (d) whether the Activity could likely proceed in the absence of ARENA funding.

3.10 You can demonstrate merit by explaining why the amount of ARENA funding requested is appropriate, including:

- (a) a detailed budget or financial model for the Activity that shows:
 - › a breakdown of the expected expenses for the Activity including any overseas expenses
 - › the total cost of the Activity
 - › the funding sought from ARENA and the proposed payment milestones

- › details and amounts of cash and in-kind contributions from you and all other sources (typically a minimum of a 1:1 contribution is expected, including the value of the in-kind support)
- › the cash flow profile of the Activity

- (b) evidence of support by you and any Activity Partners, including commitment to provide the specified cash and in-kind contributions
- (c) information to confirm that you (and any Activity Partners) have the financial capacity to fund your proposed share of the funding or in-kind contributions for the duration of the Activity
- (d) any other activities in a similar field for which you or the key personnel have received funding in the past three years from Australian Government, state government and local government sources (including from agencies such as ARENA and the Australian Solar Institute).

MERIT CRITERION E - KNOWLEDGE SHARING

3.11 This criterion assesses:

- (a) the value of the knowledge generated by the Activity in contributing to the Program Outcomes
- (b) how well that knowledge is targeted to specific audiences
- (c) how you will capture, store and disseminate the data, information and lessons learned from the Activity.

3.12 You can demonstrate merit by describing:

- (a) how the knowledge generated by the Activity would contribute to the Program Outcomes
- (b) how well tailored the knowledge sharing plan is to the purpose of the Activity
- (c) how the data, information and lessons learned from the Activity will be collected, stored, analysed and disseminated so that it reaches the target audiences
- (d) a commitment from you and other Activity Partners to deploy your resources to produce high quality knowledge products and communicate the results beyond the Activity consortium
- (e) the extent to which the data, information and lessons learned from the Activity will be made publicly available, including clear identification of what data, information and lessons learned:
 - › can be released into the public arena
 - › you will provide to ARENA but is to be treated as commercial in confidence by ARENA
 - › you wish to keep confidential
- (f) any constraints that may prevent you from sharing knowledge and information, such as IP protection processes and rights of any third parties including third party materials and IP.

4.0

APPLICATION AND ASSESSMENT PROCESS

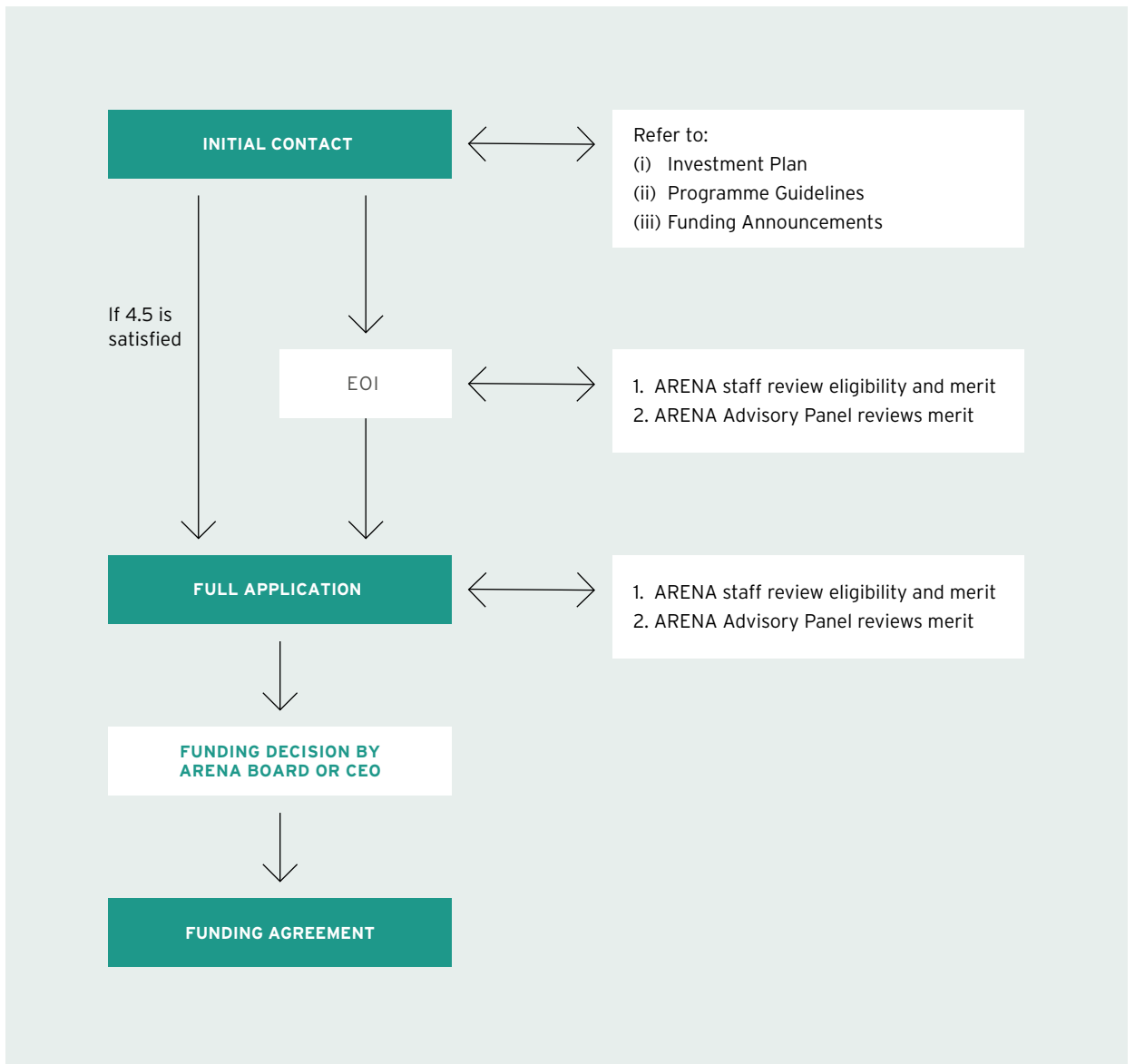
4.1 This section outlines the high level application and assessment process, including expectations and guidance for each stage of the application process. The flowchart below describes the steps, in general, to reaching a funding agreement.

You should read Part 4 in full prior to submitting a Proposal.

4.2 The process for funding under the Program typically involves two stages:
(a) an initial Expression of Interest (EOI) and
(b) a Full Application.

4.3 Eligibility and merit will be assessed at each stage of a Proposal.

FIGURE 1: PROCESS TO REACHING A FUNDING AGREEMENT



EXPRESSIONS OF INTEREST

- 4.4 You may submit an EOI at any time.¹ However, you are strongly encouraged to contact ARENA to discuss your Proposal before submitting an EOI.²
- 4.5 The EOI stage is not required in any of the following circumstances.³
- (a) the Activity is the production of a study or report, including but not limited to feasibility studies, data collection and dissemination, collaboration activities and analysis of innovative business models
 - (b) the amount of ARENA grant funding sought is less than \$500,000 (GST exclusive) or
 - (c) ARENA has waived the requirement.
- 4.6 EOIs must include specified information unless one or more requirements have been waived by ARENA. If you do not provide the specified information, in the format set out in ARENA's online application system ARENANet or on the Program's webpage on ARENA's website arena.gov.au, ARENA may seek supplementary information or clarification from you or decline to assess the EOI.

EOIs must include the following information:

- (a) brief description of the proposed Activity and how it will contribute to the Program Outcomes, the investment focus areas in the Investment Plan and any relevant Funding Announcements
- (b) brief description of the quality, capability and capacity and the relevant expertise of you, your key personnel and Activity Partners
- (c) the resources you will use to deliver the Activity
- (d) the indicative Activity phases, milestones and duration (note, it is not necessary at the EOI stage to provide a full Activity plan or Gantt chart)
- (e) if third party contractors are required to complete the Activity, details of those contractors and indicative contract terms
- (f) an indicative budget for the Activity
- (g) the value of knowledge and information created by the Activity and how you will create and share that knowledge and information (note, it is not necessary to prepare a full Knowledge Sharing Plan at the EOI stage)
- (h) a brief description of any other matter (not already covered in a-g above) referred to in the merit criteria.

FULL APPLICATION

- 4.7 Full Applications must include specified information unless one or more requirements have been waived by ARENA. If you do not provide the specified information, in the format set out in ARENA's online application system ARENANet or on the Program's webpage on ARENA's website arena.gov.au, ARENA may seek supplementary information or clarification from you or decline to assess the Full Application.

Full Applications must include the following information:

- (a) detailed description of the proposed Activity, including how the Activity will contribute to the Program Outcomes, the investment focus areas in the Investment Plan and any relevant Funding Announcements
- (b) details of the capability and capacity and the relevant expertise of you, the key personnel and your Activity Partners
- (c) examples where you, your Activity Partners and/or the key personnel have successfully progressed other activities
- (d) descriptions of any similar activities managed by you, your Activity Partners and the key personnel in the past five years, and whether these were completed on time and on budget
- (e) if third party contractors are required to complete the Activity, details of those contractors and indicative contract terms
- (f) a well-articulated Activity plan including: phases and stage-gates (if relevant); objectively verifiable milestones and deliverables; duration of the Activity (and each phase, if relevant); any periods where the Activity is dormant; and indicative start and end dates
- (g) a Risk Management Plan that includes key technical, personnel, and delivery risks of the Activity and how these will be managed, including work health and safety (WHS) requirements where relevant
- (h) a WHS Management Plan⁴
- (i) a table stating any general conditions of the draft Funding Arrangement that you do not accept, accept in part or do not consider to be applicable
- (j) a detailed budget for the Activity including a financial model showing indicative returns to Activity participants where relevant
- (k) evidence of support by participating organisation(s), including their commitment to provide the specified cash and in-kind contributions for the duration of the Activity

1 May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

2 May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

3 May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

4 Typically not required for Desktop Studies and Analysis.

- (l) a Knowledge Sharing Plan which sets out how knowledge and information from the Activity will be collected, analysed, stored, used and shared
- (m) an Intellectual Property Management Plan
- (n) details of any other matter (not already covered in a-m above) referred to in the merit criteria.

HOW DO I SUBMIT A PROPOSAL?

- 4.8 Complete your Proposal online using ARENA's Grants Management System, ARENANet, which is accessible from the Program webpage on ARENA's website arena.gov.au.
- 4.9 Be brief, concise and provide relevant information.
- 4.10 Templates for required attachments are available on the Program's webpage on ARENA's website arena.gov.au.

HOW WILL MY PROPOSAL BE ASSESSED?

- 4.11 ARENA may engage consultants or advisors to help assess a Proposal against the eligibility or merit criteria.
- 4.12 EOIs or Full Applications that fail to meet one or more of the eligibility criteria, or that ARENA considers to be of low merit against one or more merit criteria, will be considered unsuccessful.
- 4.13 Once a Proposal has been assessed to have satisfied the eligibility criteria, ARENA will assess it against the Program's merit criteria set out in Part 3. ARENA may seek advice on the merit of a Proposal from the ARENA Advisory Panel, and other than for low merit Proposals will always do so where grant funding sought is more than \$500,000 (GST exclusive). Information on the members of the ARENA Advisory Panel is available from the ARENA website at arena.gov.au.
- 4.14 ARENA may seek further information from you in relation to any matter arising from the assessment of the EOI or Full Application.⁵
- 4.15 If an eligible EOI or Full Application has been assessed to have satisfied all the merit criteria to a high standard (or can reach a high standard by meeting any conditions imposed by ARENA), ARENA may invite you to proceed to the next stage.⁶
- 4.16 A decision to offer funding for amounts up to \$50 million for Activities will be made by the ARENA CEO within delegation or the ARENA Board. Where ARENA proposes to offer funding over \$50 million, approval must also be obtained from the Minister.
- 4.17 Funding assessment decisions are final. You can request feedback from ARENA on the merit of your EOI or Full Application at the conclusion of the assessment process.

- 4.18 ARENA will advise you in writing about the outcome of the EOI or Full Application assessment and, if the Activity has been accepted for funding, the amount and nature of any funding support to be offered by ARENA and any conditions attached to the negotiation offer. A negotiation offer under the Program may be for less or more than the amount of funding you requested and may exclude parts of an Activity.

DUE DILIGENCE

- 4.19 At any time during the assessment process ARENA may undertake due diligence activities considering the value, size and complexity of the Proposal. Due diligence activities may include, but are not limited to:
 - (a) inviting you to present on your Proposal or initial concept to the ARENA Advisory Panel and/or the ARENA Board
 - (b) commissioning or completing relevant research, analysis and modelling to support assessment of Proposals and/or
 - (c) contacting any relevant Commonwealth, state, territory and international government agencies, Activity Partners or other relevant parties about your Proposal.

COLLABORATION AND WORKING UP PROPOSALS⁷

- 4.20 ARENA may seek to work with Applicants or potential applicants and their partners. ARENA may also facilitate collaboration between any Applicants with similar or complementary Proposals, or between Applicants and other organisations or funding bodies, to develop consortia to finance and carry out activities. Any such facilitation of collaboration, including the release of confidential information to another Applicant or person, will be subject to the Applicant's prior consent.
- 4.21 When facilitating collaborations, ARENA is not responsible or liable for any comments, consultation or assistance provided by ARENA, its staff or any consultants, and the facilitation must not be taken to imply that ARENA will offer funding for the collaborative Activity.
- 4.22 When working with Applicants to develop Proposals, ARENA's involvement may include but not be limited to:
 - (a) introducing an Applicant to a developer or independent power producer, or other potential project delivery partners, where appropriate
 - (b) providing detailed guidance on the preparation of financial and/or technical evidence
 - (c) helping develop Knowledge Sharing Plans.

⁵ May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

⁶ May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

⁷ May not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

PORTFOLIO APPROACH

- 4.23 ARENA takes a portfolio approach to selecting Activities for funding, giving consideration to how an Activity will contribute to the Program Outcomes either uniquely or as part of a suite of complementary ARENA Activities.
- 4.24 ARENA may elect not to fund an otherwise meritorious Activity, or in the case of a Competitive Process, a higher ranked Activity, if the aims or outcomes of that Activity are the same as, or similar to, the aims and outcomes of an Activity that has previously been funded or that ARENA is intending to fund.

RESUBMITTING REVISED PROPOSALS

- 4.25 If you are not offered funding for an Activity after making an EOI or Full Application, you may submit one revised Proposal in relation to that Activity.⁸ ARENA may decide whether to allow any additional revised proposals.
- 4.26 Your revised Proposal must take into account any feedback from ARENA. If in the opinion of ARENA any such feedback has not been taken into account, ARENA may refuse to assess a revised Proposal.

COMPETITIVE PROCESS

- 4.27 ARENA will use a Competitive Process for the Activities designated as competitive in the ARENA Investment Plan or in a Funding Announcement on the Program webpage.
- 4.28 ARENA will announce the start of a Competitive Process on the Program webpage. The Funding Announcement will include information on:
- (a) the level of funding available under the Competitive Process for eligible Activities
 - (b) the application and assessment process, including deadlines for application submission and the stages of application (i.e. EOI, Full Application)
 - (c) clarifications of eligibility and merit criteria as they apply to the Activities, including clarification of any criterion that will not apply to the Competitive Process.
- 4.29 The Competitive Process will rank eligible Proposals based on an assessment against the merit criteria, and, subject to ARENA's portfolio approach described in clause 4.23 and 4.24, and Proposals meeting the required standard of merit, Activities with the highest rankings will be offered funding subject to the level of funding indicated for the competitive round.
- 4.30 ARENA may require the mandatory submission of an EOI for the Competitive Process.
- 4.31 Resubmission of EOIs or revised Proposals are not accepted under a Competitive Process.
- 4.32 ARENA will specify the extent to which it will collaborate with Applicants under a Competitive Process, if at all.

⁸ Does not apply for a Competitive Process. For details see the Competitive Process sections 4.27 to 4.32.

5.0

FUNDING ARRANGEMENTS

NEGOTIATION OFFERS

- 5.1 All offers to negotiate and any payment of funds by ARENA under the Program are conditional until the execution of:
- (a) a funding agreement with ARENA
 - (b) a new head funding agreement between ARENA and the Applicant or
 - (c) a variation to an existing head funding agreement between ARENA and the Applicant.
- 5.2 You must keep negotiation offers confidential until the execution of such a document by you and ARENA. Any public communication by you regarding the Activity between the time of Proposal lodgement and agreement signature can only be done with ARENA's consent.
- 5.3 ARENA may withdraw its offer to negotiate if you do not comply with clause 5.2.
- 5.4 The negotiation offer will include details on the funding agreement negotiation process.

FUNDING AGREEMENT

- 5.5 The funding agreement or head funding agreement will provide the legal framework for the obligations of each party and terms around payment in relation to the Activity.
- 5.6 Details of the process for management and variation of the funding agreement or head funding agreement will be as set out in the agreement.

WHAT CAN I USE ARENA FUNDING FOR?

- 5.7 Program funding must be used only for approved expenditure on the Activity.
- 5.8 Information on what the Program funding may and may not be used for is set out in the Eligible Expenditure Guide at Appendix B.
- 5.9 You will be required to identify objectively verifiable milestones and prepare budgets reflecting the expenditure required for each milestone.

HOW DOES ARENA SHARE KNOWLEDGE AND PUBLISH ACTIVITY INFORMATION?

- 5.10 A condition of Program funding is agreement to a Knowledge Sharing Plan about the Activity to inform industry and the broader community about the Activity's development and findings.

- 5.11 An approved Knowledge Sharing Plan will form part of the Funding Arrangement for the Activity.
- 5.12 Once a funding agreement has been executed for an Activity, the knowledge sharing requirements for that Activity may be varied from time to time as set out in the funding agreement.

WORK HEALTH AND SAFETY

- 5.13 All organisations have obligations under relevant Work Health and Safety (WHS) law (as persons conducting a business or undertaking) to ensure the health and safety of workers so far as is reasonably practicable and that the health and safety of other persons is not put at risk from their undertakings. This obligation includes you ensuring that safe systems of work are in place for each of your Activities. ARENA expects Applicants to be committed to health and safety management in the proposed Activity.
- 5.14 ARENA also has a policy of ensuring that it enters into agreements with or provides funding to only those people and organisations that take a proactive approach to managing work health and safety risks in accordance with the requirements of WHS law. For information on our WHS requirements, refer to the funding agreement template and WHS Management Plan guidance document available on the Program webpage at arena.gov.au.

OTHER APPLICABLE REQUIREMENTS

- 5.15 A range of Commonwealth policy and legislative requirements may also affect the conduct of Activities funded through the Program. You should seek advice on any relevant legislation that may be applicable under the funding agreement.
- 5.16 ARENA will not enter into a funding agreement with
- (a) an organisation on the list of persons and entities designated as terrorists. The list and more information on the anti-terrorism requirements are available at <https://www.dfat.gov.au/international-relations/security/sanctions/Pages/consolidated-list>
 - (b) an organisation that does not comply with their obligations under the *Workplace Gender Equity Act 2012* (Cth).

6.0

FURTHER PROGRAM INFORMATION

CONFIDENTIALITY AND DISCLOSURE OF INFORMATION

- 6.1 Subject to this clause, information of a confidential nature provided by you as part of, or in connection with, any Proposal or negotiation process (if any) will be treated as commercial-in-confidence information by ARENA.
- 6.2 ARENA may disclose commercial-in-confidence information provided by you to the following parties:
- (a) the Minister and the Minister's office
 - (b) the Parliament of the Commonwealth of Australia in response to a request by a House or a Committee of the Parliament of the Commonwealth of Australia
 - (c) the Auditor General, Ombudsman, Information Commissioner or Privacy Commissioner
 - (d) ARENA staff, consultants and advisers
 - (e) any Commonwealth agency or body, or any other organisation or individual considered by ARENA to have a need or an entitlement to know that information (including any state or territory agency or body), where that need or entitlement arises out of or in connection with ARENA's assessment, verification or due diligence of any aspect of a Proposal
 - (f) where authorised or required by law to be disclosed, to those parties.
- 6.3 ARENA will otherwise only disclose commercial-in-confidence information provided by you with your consent.

REVIEW OF DECISIONS AND COMPLAINTS

- 6.4 Complaints concerning assessments or processes will, in the first instance, be reviewed by ARENA. If ARENA cannot resolve the complaint within 30 business days of receiving your complaint, ARENA must provide you with the details of a nominated complaints and review officer and of the next steps. If you are not satisfied with the complaint resolution procedure, you can approach the Commonwealth Ombudsman for external review of the administrative actions of ARENA.

CONFLICTS OF INTEREST

- 6.5 ARENA will administer its conflict of interest procedures, including procedures for Board members, the Chief Executive Officer of ARENA, the Chief Financial Officer of ARENA and other ARENA staff to declare their interests.
- 6.6 All consultants and advisers engaged by ARENA to assist:
- (a) in the assessment of a Proposal or
 - (b) in the preparation of new or variations to head funding agreements or funding agreements
- are required to disclose any conflicts of interest they may have in relation to Applicants and may be excluded from work if required under ARENA's conflict of interest procedure.

ARENA'S DISCRETION

- 6.7 By submitting an EOI or Full Application, you acknowledge and agree to ARENA's right (in its absolute discretion) to reject, refuse to consider or cease evaluating your EOI or Full Application, at any time, if ARENA is of the view (in its absolute discretion) that your EOI or Full Application is unlikely to be successful.

NO CONTRACT OR LIABILITY

- 6.8 Despite anything in the Guidelines or in any EOI or Full Application submission, or any other documentation that forms part of this process (in part or together), by submitting a Proposal you:
- (a) acknowledge that neither you nor ARENA intend to create any contract or other relationship under which ARENA is obliged to conduct the process in relation to the Program in any manner or at all, and that there is in fact no such contract or other relationship in existence
 - (b) accordingly, acknowledge that neither the Guidelines nor any submission will create any legal or other obligation upon ARENA to conduct the process in any manner or at all
 - (c) release ARENA from any claim it might otherwise have been able to make or bring against ARENA, arising out of or in connection with ARENA's conduct of, or failure to conduct, the process in any manner or at all.

APPENDIX A

TECHNOLOGY READINESS LEVELS

- A.1 The Technology Readiness Level (TRL) index is a globally accepted benchmarking tool for tracking progress and supporting development of a specific technology through the early stages of the innovation chain, from blue sky research (TRL1) to actual system demonstration over the full range of expected conditions (TRL9).
- A.2 There are various TRL rating scales that may be applicable to various technologies. For the purposes of this Program, ARENA uses the US Department of Energy Technology Readiness Level scale.
- A.3 To assist Applicants in assessing the TRL of their Activity refer to the table on the following pages.

TABLE 1: US DEPARTMENT OF ENERGY TECHNOLOGY READINESS LEVELS^{9*}

RELATIVE LEVEL OF TECHNOLOGY DEVELOPMENT	TRL	TRL DEFINITION	DESCRIPTION
Systems operations	TRL 9	Actual system operated over the full range of expected mission conditions	The technology is in its final form and operated under the full range of operating mission conditions. Examples include using the actual system with the full range of wastes in hot operations.
System commissioning	TRL 8	Actual system completed and qualified through test and demonstration	The technology has been proven to work in its final form and under expected conditions in almost all cases, this TRL represents the end of true system development. Examples include developmental testing and evaluation of the system with actual waste in hot commissioning. Supporting information includes operational procedures that are virtually complete. An Operational Readiness Review (ORR) has been successfully completed prior to the start of hot testing.
	TRL 7	Full-scale, similar (prototypical) system demonstrated in relevant environment	This represents a major step up from TRL 6, requiring demonstration of an actual system prototype in a relevant environment. Examples include testing full-scale prototype in the field with a range of simulants in cold commissioning. ¹⁰ Supporting information includes results from the full-scale testing and analysis of the differences between the test environment, and analysis of what the experimental results mean for the eventual operating system/environment. Final design is virtually complete.
Technology demonstration	TRL 6	Engineering/pilot-scale, similar (prototypical) system validation in relevant environment	Engineering-scale models or prototypes are tested in a relevant environment. This represents a major step up in a technology's demonstrated readiness. Examples include testing an engineering scale prototypical system with a range of simulants. Supporting information includes results from the engineering scale testing and analysis of the differences between the engineering scale, prototypical system/environment, and analysis of what the experimental results mean for the eventual operating system/environment. TRL 6 begins true engineering development of the technology as an operational system. The major difference between TRL 5 and 6 is the step up from laboratory scale to engineering scale and the determination of scaling factors that will enable design of the operating system. The prototype should be capable of performing all the functions that will be required of the operational system. The operating environment for the testing should closely represent the actual operating environment.

⁹ *US Department of Energy Technology Readiness Assessment Guide (DOE 413.3-4 10-12-09) <https://www.directives.doe.gov/directives/0413.3-EGuide-04/view>, page 9 and 10

¹⁰ Simulants should match relevant chemical and physical properties.

RELATIVE LEVEL OF TECHNOLOGY DEVELOPMENT	TRL	TRL DEFINITION	DESCRIPTION
Technology development	TRL 5	Laboratory-scale, similar system validation in relevant environment	The basic technological components are integrated so that the system configuration is similar to (matches) the final application in almost all respects. Examples include testing a high-fidelity, laboratory-scale system in a simulated environment with a range of simulants and actual waste. ¹¹ Supporting information includes results from the laboratory scale testing, analysis of the differences between the laboratory and eventual operating system/environment, and analysis of what the experimental results mean for the eventual operating system/environment. The major difference between TRL 4 and 5 is the increase in the fidelity of the system and environment to the actual application. The system tested is almost prototypical.
Technology development	TRL 4	Component and/or system validation in laboratory environment	The basic technological components are integrated to establish that the pieces will work together. This is relatively “low fidelity” compared with the eventual system. Examples include integration of ad hoc hardware in a laboratory and testing with a range of simulants and small scale tests on actual waste. Supporting information includes the results of the integrated experiments and estimates of how the experimental components and experimental test results differ from the expected system performance goals. TRL 4-6 represent the bridge from scientific research to engineering. TRL 4 is the first step in determining whether the individual components will work together as a system. The laboratory system will probably be a mix of on hand equipment and a few special purpose components that may require special handling, calibration, or alignment to get them to function.
Research to prove feasibility (NOT ELIGIBLE)	TRL 3	Analytical and experimental critical function and/or characteristic proof of concept	Active research and development is initiated. This includes analytical studies and laboratory-scale studies to physically validate the analytical predictions of separate elements of the technology. Examples include components that are not yet integrated or representative tested with simulants. Supporting information includes results of laboratory tests performed to measure parameters of interest and comparison to analytical predictions for critical subsystems. At TRL 3 the work has moved beyond the paper phase to experimental work that verifies that the concept works as expected on simulants. Components of the technology are validated, but there is no attempt to integrate the components into a complete system. Modelling and simulation may be used to complement physical experiments.
Basic technology research (NOT ELIGIBLE)	TRL 2	Technology concept and/or application formulated	Once basic principles are observed, practical applications can be invented. Applications are speculative, and there may be no proof or detailed analysis to support the assumptions. Examples are still limited to analytic studies. Supporting information includes publications or other references that outline the application being considered and that provide analysis to support the concept. The step up from TRL 1 to TRL 2 moves the ideas from pure to applied research. Most of the work is analytical or paper studies with the emphasis on understanding the science better. Experimental work is designed to corroborate the basic scientific observations made during TRL 1 work.
	TRL 1	Basic principles observed and reported	This is the lowest level of technology readiness. Scientific research begins to be translated into applied research and development. Examples might include paper studies of a technology’s basic properties or experimental work that consists mainly of observations of the physical world. Supporting Information includes published research or other references that identify the principles that underlie the technology.

¹¹ Testing with as wide a range of actual waste as practicable and consistent with waste availability, safety, ALARA, cost and Activity risk is highly desirable.

COMMERCIAL READINESS INDEX

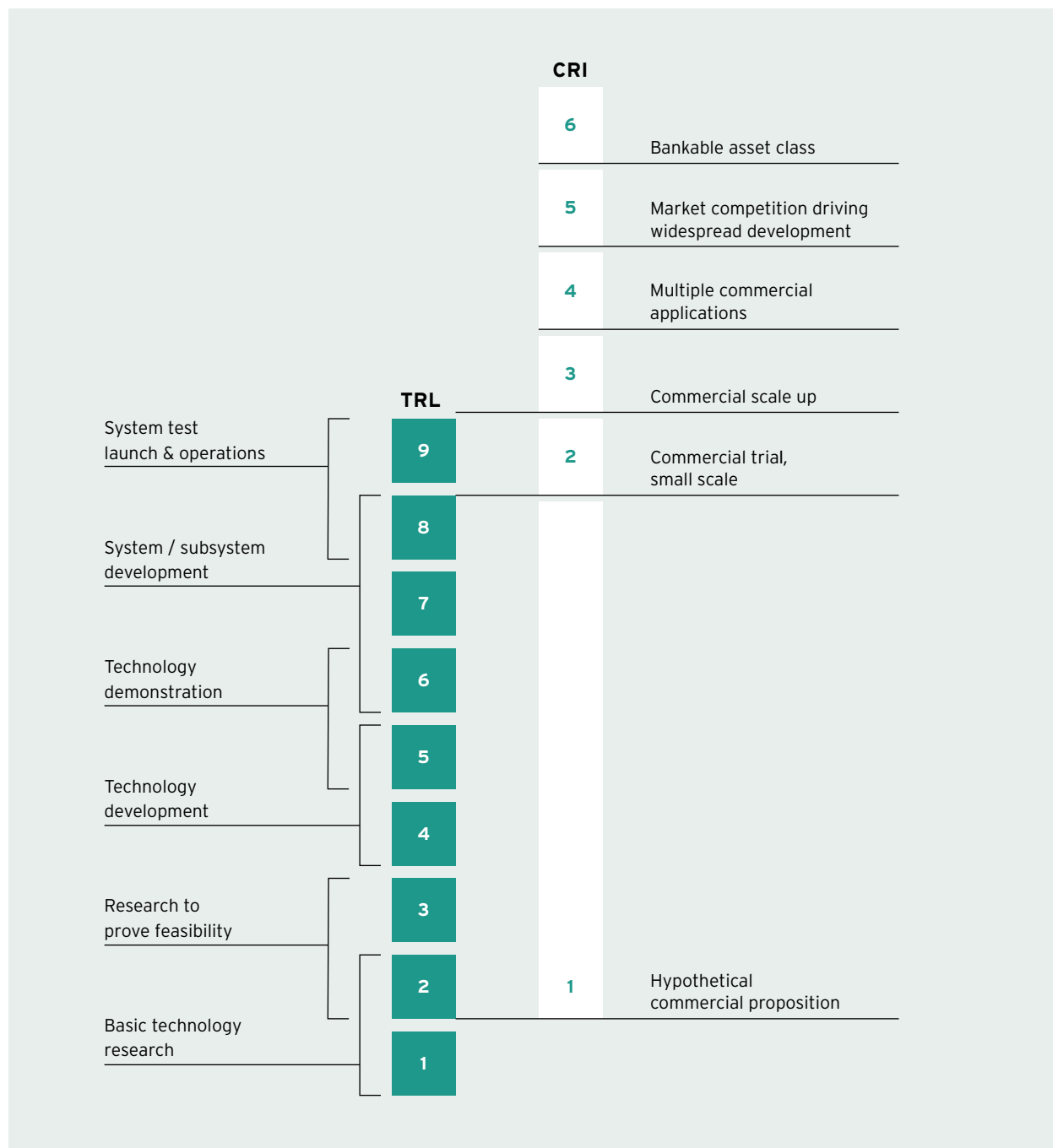
A.4 ARENA has developed the Commercial Readiness Index (CRI) for Applicants to use when considering their Activities and developing funding applications for ARENA consideration. The index provides a rigorous structure for evaluating where one or more industry sectors are facing barriers, and enables ARENA to structure its funding support to best reduce risks and barriers at the various stages of the pathway to commercialisation.

A.5 A pictorial representation of the TRLs and CRIs is shown in Figure 1. The CRI extends to the point at which the technology or application is commercially deployed and has become a bankable asset class. This figure demonstrates how Applicants can consider at an early stage how their technology will become commercial.

A.6 The Program rewards Activities that can identify a pathway to commercialisation.

A.7 More information on the CRI is available on the ARENA website arena.gov.au

FIGURE 2: ARENA'S TRL AND CRI FRAMEWORK



APPENDIX B

ELIGIBLE EXPENDITURE GUIDELINES

- B.1 These eligible expenditure guidelines specify the kinds of expenditure that are eligible or ineligible for Activities funded through the Program. The guidelines are recognised in the Funding Arrangements for the Program, and are to be followed:
- (a) in the preparation of the budget that is submitted with an EOI or Full Application for funding under the Program
 - (b) by funding Recipients as part of the regular milestone reporting and annual financial reporting required of Recipients under the Funding Arrangements.
- B.2 Applicants are required to identify objectively verifiable milestones and to prepare their budgets to meet the expenditure required for each milestone. Budgets should be realistic and feasible in relation to the nature of the Activity and the expected cash flow. As part of a Full Application Applicants are required to:
- (a) explain the underlying assumptions and the basis for calculation of expenditure items
 - (b) indicate where quotations and contracts are in place
 - (c) provide any documentary evidence to support the expenditure calculations used by the Applicant.
- B.3 If a Proposal is accepted for funding and a Funding Arrangement is executed, ARENA will make payments upon the achievement of agreed milestones. Payments for each milestone will be calculated as a proportion of the eligible expenditure expected to be required to achieve the milestone, subject to review where actual eligible expenditure for the milestone falls significantly short of the expected eligible expenditure. The proportion of eligible expenditure to be paid for each milestone will be determined on a case-by-case basis as part of the process of negotiating the Funding Arrangement. In addition, the Funding Arrangement will require Recipients to provide financial reports detailing eligible expenditure on the Activity.
- B.4 Where an Applicant is in any doubt as to the eligibility of some of the expenditure on their proposed Activity, the Applicant should discuss the matter with ARENA. ARENA will consider the request and may make a determination about the eligibility of the expenditure.

GENERAL PRINCIPLES

- B.5 The following general principles apply in the consideration of eligible expenditure:
- (a) eligible expenditure is expenditure related directly to the undertaking of the Activity
 - (b) eligible expenditure is calculated net of GST
 - (c) non-cash and in-kind contributions may be considered as eligible expenditure, provided that the Applicant can demonstrate to the satisfaction of ARENA that the requirements in these eligible expenditure guidelines are satisfied
 - (d) in-kind contributions are non-monetary resources used on the Activity where no cash has been transferred to the Recipient's account(s) for the Activity
 - (e) expenditure is generally not eligible expenditure if it is undertaken prior to the signing of the Funding Arrangement or after the completion date for the Activity specified in the Funding Arrangement
 - (f) opportunity costs are not eligible expenditure
 - (g) opportunity costs are any benefits or production lost due to the allocation of resources to the Activity ahead of any other possible activities by the Recipient
 - (h) where resources are used on an Activity and on unrelated activities elsewhere in the recipient organisation, the cost of those resources should be apportioned to the Activity on the basis of the proportion of those resources that were used by the Recipient in undertaking the Activity. Where it is not possible to make such a proportionate allocation, the Recipient should allocate the cost of the resources on a reasonable basis and provide information to ARENA to support this allocation of the cost of the resources
 - (i) related party transactions must be treated on an at cost basis, without mark-up, unless the Recipient can demonstrate to the satisfaction of ARENA that the transaction has been calculated on an arm's-length basis
 - (j) generally accepted accounting principles are to be followed and it must be possible to track expenditure relating to the Activity through a Recipient's accounting system to meet the financial reporting and audit requirements in the Funding Arrangement.

SPECIFIC ELIGIBILITY PROVISIONS

B.6 Eligible expenditure includes:

- (a) expenditure on the preparation of contracts entered into for the purposes of undertaking the activities required for the conduct of the Activity, subject to the ineligible expenditure constraints below
- (b) labour expenditure, such as salaries and wages, including reasonable on-costs for personnel employed directly on the Activity. Labour on-costs include: workers' compensation insurance, employer contributions to superannuation, recreation and sick leave, long service leave accrual and payroll tax
- (c) administrative expenses, including expenses incurred on communications, accommodation, computing facilities, travel, recruitment, printing and stationery, where such expenses are related directly to the Activity
- (d) expenditure for plant installed for the Activity at the full delivered cost of the plant
- (e) expenditure on plant used for the construction of an Activity, calculated on the basis of hire or lease costs, and running costs directly related to the construction of the Activity, such as rent, power, fuel and repairs and maintenance
- (f) expenditure activities that directly contribute to or enable knowledge including database development, websites, applications and reports
- (g) expenditure on legal, audit and accounting costs related directly to the Activity
- (h) expenditure related to the raising of funds for the Activity, or the formation of consortia or joint ventures or other partnering arrangements, where such activities can be related directly to the Activity
- (i) expenditure such as relevant licence fees or intellectual property purchase costs, where the Applicant needs to access specific technology to undertake the Activity
- (j) expenditure related directly to obtaining government approvals to undertake the Activity.

B.7 Ineligible expenditure should be included in the total Activity cost. However, ARENA funds cannot be spent on ineligible expenditure.

B.8 Ineligible expenditure includes, but is not limited to:

- (a) expenditure related to the general operations and administration of the Applicant or Recipient that the Applicant or Recipient could reasonably be expected to undertake in the normal course of business. This includes research institution overheads, for example, which may be calculated as 125 per cent of research staff salaries for laboratory based research
- (b) expenditure on activities that a local, state, territory or Commonwealth government agency has the responsibility to undertake, unless the Applicant or Recipient can demonstrate to the satisfaction of ARENA that the expenditure is related to a co-contribution

- (c) interest on loans for new and pre-existing capital items used for the Activity
- (d) expenditure on the acquisition of land for an Activity
- (e) sales or promotional activities that do not support directly the successful completion of the Activity
- (f) geothermal license retention fees
- (g) membership fees
- (h) donations
- (i) expenditure that does not support directly the successful completion of the Activity.

LABOUR

B.9 Eligible labour expenditure is the gross amount paid or payable to an employee of the Applicant's or Recipient's company or organisation. Eligible salary includes any components of the employee's total remuneration package that are itemised on their Pay As You Go (PAYG) annual payment summaries submitted to the Australian Taxation Office (ATO).

B.10 Recipients must provide evidence to demonstrate the amount of time that an employee spent on the Activity. Evidence to support eligible expenditure on labour could include timesheets, job cards or diaries.

B.11 Labour costs cannot be claimed based on an estimation of the employee's worth to the company, where no cash has changed hands.

CONTRACT EXPENDITURE

B.12 Eligible contract expenditure is the cost of any activities to support the Activity performed for the Recipient by another organisation. Work to be performed on an Activity must be the subject of a written contract, including a letter or purchase order, which specifies the nature of the work to be performed for the Recipient and the applicable fees, charges and other costs payable. The written contract must be executed prior to the commencement of the work undertaken under the contract.

B.13 It is not a requirement for contracts to be in place at the time an Applicant submits a Proposal to ARENA. However, for major items of contract expenditure, such as purchases of major items of hardware to be incorporated in the Activity, Applicants will be expected to have some form of documentary evidence, such as written quotes from suppliers, to substantiate the expenditure included in the budget for the Activity.

B.14 Where the contractor and the Applicant or Recipient are not at 'arm's-length', the amount assessed for work performed will be an amount considered to be a reasonable charge for that work and contain no unacceptable overheads and no element of 'in group profit'. Organisations considered not at 'arm's-length' include related companies and companies with common directors or shareholders.

EXPENDITURE PRIOR TO EXECUTION OF THE FUNDING ARRANGEMENT

B.15 Expenditure is generally not eligible, if undertaken prior to the signing of the Funding Arrangement. A Recipient, however, may be able to claim some expenditures incurred prior to execution of a funding agreement, with the prior agreement of ARENA and only where such expenditures are incurred after ARENA has made a negotiation offer to the Applicant for the Activity. This expenditure and the funding attached to it will be considered by ARENA on a case-by-case basis.

OVERSEAS EXPENDITURE

B.16 As set out in clause 2.5, any ARENA funded expenditure incurred by you outside of Australia, other than for equipment or materials, must be limited to no more than 10 per cent of total ARENA funds, except in exceptional circumstances that must be justified by the Applicant and agreed to in writing by ARENA before submission of an Application.

B.17 Following execution of a Funding Arrangement, expenditure on goods and services overseas may be subject to approval by ARENA as specified in the Funding Arrangement.

ACCOUNTING SYSTEMS

B.18 Recipients are required to have in place suitable accounting systems and to provide to ARENA assurances that the accounting system used by the Recipient and any consortium partners allows for:

- (a) the separate and accurate identification of contributions and eligible expenditure on the Activity
- (b) a clear audit trail of all Program funding contributions and eligible expenditure to be available on request and as required to meet the requirements in the Funding Arrangement.

GLOSSARY

Activity / Activities involves a Renewable Energy Technology and/or other methods including Desktop Studies and Analysis that has the potential to contribute to the Program Outcomes. Does not include research (Technology Readiness Level (TRL) 1-3 see Appendix A), education or training of students.

Activity Partner a person, organisation or institution that the Applicant has engaged as a joint venturer, contractor or consultant to help deliver the Activity as part of its Proposal.

Applicant an eligible person, organisation or institution as defined in clause 2.2 that has submitted a Proposal for funding under the Program.

ARENA Advisory Panel information on the members of the ARENA Advisory Panel is available from the ARENA website at arena.gov.au.

Commercial Readiness Index the level of introduction into the market of a new Renewable Energy Technology being investigated by an Activity, as mapped on the scale described in Appendix A.

Competitive Process a process under which ARENA calls for Proposals from Applicants in accordance with the requirements of these Guidelines (to the extent they are expressed to apply to Competitive Processes), including those set out in clauses 4.27 to 4.32.

Conflict of interest a situation where a person makes a decision or exercises a power in a way that may be, or may be perceived to be, influenced by either material personal interests (financial or non-financial) or material personal associations.

Consultant a consultant or service provider engaged by ARENA to provide services to assist ARENA in the performance of its functions.

Corresponding WHS law as defined in the *Work Health and Safety Act 2011* (Cth), means each of the following:

- › the *Work Health and Safety Act 2011* of New South Wales
- › the *Occupational Health and Safety Act 2004* of Victoria
- › the *Work Health and Safety Act 2011* of Queensland
- › the *Occupational Safety and Health Act 1984* of Western Australia
- › the *Work Health and Safety Act 2012* of South Australia
- › the *Work Health and Safety Act 2012* of Tasmania
- › the *Work Health and Safety Act 2011* of the Australian Capital Territory
- › the *Work Health and Safety (National Uniform Legislation) Act 2011* of the Northern Territory
- › any other law of a State or Territory prescribed by the regulations, as amended or replaced from time to time.

Corporations Act (Cth) Act No. 50 of 2001 as amended or replaced from time to time.

Demonstration Activities between TRL 5 to 7.

Deployment Activities between TRL 8 and 9.

Desktop Studies and Analysis knowledge activities that contribute to the Program Outcomes, renewable energy industry development and capacity building activities or preparatory activities for projects, including potential projects for funding by ARENA.

Development Activities between TRL 4 and 5.

Eligibility criteria the eligibility criteria for Activities listed in Part 2 of the Guidelines.

Eligible expenditure expenditure of the kind defined as eligible in Appendix B.

EOI an Expression of Interest or first stage Proposal document, containing the content required by clause 4.6.

Full Application second stage Proposal document, containing the content required by clause 4.7.

Funding Announcement documentation published occasionally by ARENA to provide further clarification of eligibility and merit criteria set out in these Guidelines, as well as further process guidance such as whether Proposals submitted should follow a competitive application and assessment process (Competitive Process) or a collaborative application and assessment process (Collaborative Process).

Funding Arrangement the agreement between a Recipient and ARENA for funding under the Program. This includes a head funding agreement or an individual funding agreement. Both agreements consist of two parts - the General Conditions and the Schedule:

- › General Conditions - the contract approved by ARENA
- › Schedule - the specific information and conditions that are consistent with the funding of one or several activities.

General Funding Strategy the document made under Subdivision A, Division 2, Part 3 of the ARENA Act.

Grant an amount awarded for a particular Activity in return for the completion of specified milestones. A Grant is not to be confused with a gift or a loan. In the case of the Program, the Grant is the amount identified in the Funding Arrangement. Grants are subject to normal taxation treatment as income and no special taxation arrangements will apply to Grants under the Program. A Grant includes recoupable funding, that is, where some portion of the Grant may be recoupable if certain conditions are met in accordance with a Funding Arrangement.

Guidelines the Advancing Renewables Program Guidelines.

Head funding agreement an agreement entered into by ARENA with an institution that has multiple Activities receiving funding. This may include Activities from more than one Program. Individual Activities are listed as schedules to the agreement.

In-kind contribution non-monetary resources used on the Activity where no cash has been transferred to the Recipient's account(s) for the Activity.

Investment Plan the ARENA Investment Plan, a document that ARENA releases annually, outlining ARENA's investment focus areas and Programs.

Knowledge Sharing Plan how knowledge and information from the Activity will be collected, analysed, stored, used and shared.

Merit criteria the merit criteria listed in Part 4 of the Guidelines.

Opportunity costs any benefits or production lost due to the allocation of resources to the Activity ahead of any other possible activities by the Recipient.

Program the Advancing Renewables Program.

Program Objective and Program Outcomes as defined in section 1.5.

Proposal a submission for an Activity under any stage of the application and assessment process for the Program, which is submitted by an Applicant and received by ARENA.

Recipient an Applicant that has entered into a Funding Arrangement with ARENA for funding of an Activity.

Renewable Energy Technology includes hybrid technologies and technologies that are related to renewable energy technologies (including enabling technologies).

Technology Readiness Level (TRL) the level of development of a Renewable Energy Technology being investigated by an Activity, as mapped on the scale described in Appendix A.

WHS law or WHS legislation the *Work Health and Safety Act 2011* (Cth), Corresponding WHS law or superseded work health and safety or occupational health and safety law in any jurisdiction. The WHS law includes regulations established under the relevant Acts.

Further information is available at
arena.gov.au

Australian Renewable Energy Agency

Phone +61 1800 804 847

Postal Address

GPO Box 643
Canberra ACT 2601

Location

2 Phillip Law Street
New Acton ACT 2601

Engage with us

ARENAWIRE



This work is copyright, the copyright being owned by the Commonwealth of Australia. With the exception of the Commonwealth Coat of Arms, the logo of ARENA and other third-party material protected by intellectual property law, this copyright work is licensed under the Creative Commons Attribution 3.0 Australia Licence.

Wherever a third party holds copyright in material presented in this work, the copyright remains with that party. Their permission may be required to use the material.

ARENA has made all reasonable efforts to:

- clearly label material where the copyright is owned by a third party
- ensure that the copyright owner has consented to this material being presented in this work.

Under this licence you are free to copy, communicate and adapt the work, so long as you attribute the work to the Commonwealth of Australia (Australian Renewable Energy Agency) and abide by the other licence terms. A copy of the licence is available at <http://creativecommons.org/licenses/by/3.0/au/legalcode>

This work should be attributed in the following way:
© Commonwealth of Australia (Australian Renewable Energy Agency) 2019

Requests and enquiries concerning reproduction and rights should be addressed to arena@arena.gov.au



Australian Government
Australian Renewable
Energy Agency

ARENA