Australia's Economic Accelerator

Program Administrative Guidelines
2025 AEA Innovate

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Contents

1. About the AEA program

Australia's Economic Accelerator (AEA) supports collaboration between university research teams and industry, to take research results closer to commercial reality. It is administered by the Department of Education (department) and will focus on university-led projects with commercial potential which address at least one of the Australian Government identified priority areas of the economy, outlined in the *National Reconstruction Fund Corporation (Priority Areas) Declaration 2023*.

AEA is a program established under Part 2-3 of the *Higher Education Support Act 2003* (HESA). These Program Administrative Guidelines (Guidelines) should be read in conjunction with Division 42 of HESA, Chapter 5 of the Other Grants Guidelines (Research) 2017 (OGGRs) and any conditions imposed on grant funding by the Minister for Education's delegate under subsection 41-25(2) of HESA (Conditions of Grant). HESA, the OGGRs and any Conditions of Grant (CoG) are the primary source of requirements for AEA with which providers must comply and set out additional detail about AEA.

AEA is different from most university research grant schemes. It is exclusively targeted at the experimental development end of the research and development spectrum and aimed at growing university-industry collaboration. AEA is designed to shift the research and development dial by supporting translation and commercialisation of Australia's world-class university research.

AEA has 2 stages, Ignite and Innovate.

AEA Ignite supports early-stage research commercialisation through competitive grants of up to $500,000 for up to 12 months, for universities to complete laboratory testing to establish proof-of-concept. This is after completion of basic research and testing has verified the concept or process in an industrially relevant environment.

AEA Innovate is explained in section 1.4 of these guidelines.

AEA Ignite and Innovate are independent streams, and funding for AEA Innovate is not dependent on having received funding for AEA Ignite.

These Guidelines apply to AEA Innovate grant applications. The purpose of the Guidelines is to set out the rules which govern the department's administration of AEA Innovate including the requirements for applications, eligibility, the selection processes to be followed and the selection criteria that will be used to recommend grant funding.

Defined terms used in these Guidelines are listed in the Glossary.

1.1 AEA Innovate grant process

Australia's Economic Accelerator (AEA) is designed to achieve Australian Government objectives for commercialisation of university research. This competitive grant opportunity is part of the AEA which contributes to the department's Outcome 2.6 to increase Research Capacity: *Increase production, use and awareness of research knowledge and to improve collaboration between government, industry and the research sector in the production of research knowledge.*

Step 1 - The grant opportunity opens
The department will publish the Program Administrative Guidelines (Guidelines) on the department's AEA website.
AEA Innovate applications will be accepted in rounds and assessments of applications will be made following round closing dates.

Step 2 - The Lead Organisation submits an Expression of Interest (EOI)
The Lead Organisation will submit an EOI using the form which will be available through the Department's Research Management System (RMS).
Priority Managers will assess EOIs against the selection criteria as outlined in section 4.1 of these Guidelines. Priority Managers will provide guidance on technical viability, commercial potential, and potential partners that could improve the success of the project. They will provide recommendations on how the EOI can be strengthened against the selection criteria. While incorporating the recommendations of Priority Managers is not a condition of eligibility to lodge an application, it is strongly recommended that Lead Organisations take advantage of this process to increase the quality of their application.
The Lead Organisation may resubmit a revised EOI for reconsideration. Whilst submission for EOIs will remain continuously open, there will be specific dates EOIs must be submitted by. This is to allow time for feedback and for applications to be developed for the next round.

Step 3 - The Lead Organisation completes and submits a grant application
The Lead Organisation completes the application and addresses all the eligibility and selection criteria to be considered for a grant. Applications
are submitted online through the Research Management System (RMS):
https://education.researchgrants.gov.au/.

Step 4 - The department undertakes an eligibility assessment
The department assesses the applications against the eligibility criteria. Applications that do not meet the eligibility criteria will not proceed to further assessment.

Step 5 - Eligible applications are assessed against selection criteria
Assessors consider eligible applications against the selection criteria, including an overall consideration of value for money, and making recommendations on the merits of each application (including the level and duration of funding for each project) to the AEA Advisory Board.

For the purposes of managing perceived Conflicts of Interest, the AEA Priority Manager assigned to provide feedback on an EOI will not undertake the assessment of the application, where possible.

Step 6 - The AEA Advisory Board makes grant recommendations to the Program Delegate
The AEA Advisory Board will then consider the applications, and the recommendations provided by assessors, and provide recommendations to the Program Delegate, who is the final decision maker. This process may include inviting applicants to an interview with the AEA Advisory Board and/or their representatives.

Step 7 - Grant decisions are made
The Program Delegate decides which applications are successful, and the level of funding and duration of funding for each approved project, adhering to requirements in HESA and other Commonwealth legislation.
The Program Delegate will consider the recommendations and risks regarding applications identified during the assessment processes, including but not limited to national interest, national security, financial viability, or any other risks identified.

Step 8 - The department notifies the Lead Organisation of the outcome
The Lead Organisation will receive notification of the outcome of their application through RMS. Feedback on applications that are not successful will be provided. The department may not notify unsuccessful Lead Organisations until after Conditions of Grant have been finalised with successful Lead Organisations.

Step 9 - The department imposes conditions on the grant
The Program Delegate will impose Conditions of Grant that cover, among other things, the size and duration of the grant, the participants involved, reporting requirements, and how the project is to be conducted. This may include stage-point reviews for deciding whether critical milestones have been achieved and if the project should continue to its next planned phase of development.

Grants under AEA Innovate may be approved by the Program Delegate in stages, and the approval of the next stage of grant funding may be subject to the achievement of milestones set out in the Conditions of Grant.

Step 10 - Delivery of grant
If the Lead Organisation accepts the Conditions of Grant, the successful Lead Organisation undertakes the grant activity as agreed. The department manages the grant by working with the successful Lead Organisation, monitoring their progress against milestones; determining whether the project continues; and making payments accordingly.

Step 11 - Evaluation of AEA Innovate

The department will periodically evaluate AEA in terms of its efficiency, impact and continued need. The department bases this evaluation on information the Lead Organisation provides to the department, as well as what the department collects from various sources such as the Australian Bureau of Statistics.

1.2 Program objectives

The objectives of AEA are to:

- support higher education providers to bridge the divide between basic research activities and commercialisation outcomes, through closer engagement with industry partners,
- support research activities aligned to government identified priority areas, undertaken by higher education providers,
- boost the research capability of higher education providers to conduct research with high commercialisation potential,
- foster a culture of collaboration between universities and industry, including greater job mobility and career development opportunities within both sectors,
- encourage industry engagement with university research, boosting research capability in areas with the greatest potential for economic impact.

1.3 Program outcomes

AEA is expected to realise the following outcomes.

Short-to-medium term:

- increased confidence in the university and industry sectors to collaborate and invest in research and development, and commercialisation,
- an increased uptake in applied research pathways and career opportunities, with researchers gaining commercial and entrepreneurial skills in addition to building strong commercial and industry relationships,
- increased numbers of research projects proceeding towards commercialisation, and
- increased job mobility between the university and private sectors.

Medium-to-long term:

- an uplift in commercial outputs from Australian university research, increasing Australia's sovereign capability,
- increased collaboration between universities and industry, leading to better-targeted innovation,
- increased business investment in research and development, and competitiveness in the government identified priority areas, and
- an Australian economy which is stronger, more complex, and more resilient.

1.4 About the AEA Innovate grant opportunity

AEA Innovate provides mid-stage research commercialisation grants of up to $5 million and up to 24 months, for universities, in partnership with businesses, to build prototypes and pilot systems to establish proof-of-scale. Proof-of-scale is the point at which a prototype has been demonstrated to work, at a pre-commercial scale, in an operational environment. AEA Ignite and Innovate are independent streams, and funding for AEA Innovate is not dependent on having received funding for AEA Ignite.

Successful projects will be selected through a competitive grants process. Lead Organisations will be required, among other things, to provide a detailed project management plan which clearly articulates the commercial potential of the project, the extent of business involvement in developing the application, and the resources that the Lead Organisation and their business collaborators will be investing.

The maximum amount for each AEA Innovate grant is $5 million. The final grant amount will be determined by the Program Delegate. The grant amount will be no more than 50 per cent of the eligible project costs as detailed in the application. AEA Innovate projects will have a maximum duration of 24 months, from the signing of the CoG until completion.

Multiple grants may be awarded to a single project up to a maximum amount of $5 million per project, provided the project progresses within a TRL or to a higher TRL when applying for subsequent applications.

Priority Managers will provide support to Lead Organisations in the development of their applications and will make recommendations about grants to the AEA Advisory Board.

AEA Innovate grants are made by the Program Delegate under Part 2-3 of HESA, consistent with the requirements set out in Chapter 5 of the OGGRs.

Funding awarded under AEA Innovate is eligible for inclusion as research income in the Higher Education Research Data Collection.

1.5 Important dates

The opening and closing dates for AEA Innovate rounds will be published on the [AEA website](#). Expressions of Interest and applications must be submitted between the designated opening and closing dates. Late submissions will not be accepted. Unless otherwise specified, grant rounds will open at 9am AEST or ADST and close at 5pm AEST or ADST.

Lead Organisations that have commenced but did not submit an application for an AEA Innovate round before that round closed will need to begin their application again when the next relevant AEA Innovate round opens.

1.6 Grant period

Projects should commence as soon as the department has signed and issued the CoG, and no later than 6 weeks after the CoG are issued. Projects that have a delayed start date of more than 6 weeks must contact the department as this may affect the amount of funding available to be fully awarded. Projects must be completed within 24 months of the project's agreed start date.

After this period, the successful Lead Organisation will be expected to report on the outcomes of the grant and may be required to provide a response to a short survey for a further 7 years.

2. Eligibility criteria

The department cannot consider a grant application if the Lead Organisation does not satisfy the eligibility criteria. The department cannot waive the eligibility criteria under any circumstances. The Program Delegate makes the final decision about whether an application meets the eligibility criteria.

To be eligible, applications must, at a minimum:

- have completed and submitted an EOI for the project
- include one, and only one, Lead Organisation from the Table A and Table B providers listed in the HESA or bodies corporate that are in the 'University College' provider category listed in the *Higher Education Standards Framework (Threshold Standards) 2021*
- nominate one, and only one, Lead Entrepreneur employed by the Lead Organisation
- demonstrate how the project aligns with one of the national priority areas as outlined in the OGGRs and section 2.7.
- demonstrate that, at the time the grant will be made, all actual or perceived conflicts of interest, both within and outside Australia, that exist in relation to the conduct of the proposed project have been disclosed to the department, and the Lead Organisation has demonstrated that they have taken steps required by the department to resolve or address the conflict
- demonstrate alignment to TRL 5, 6 or 7 and must demonstrate some progress within the TRL during the life of the project. There is no expectation that all projects will progress to a higher TRL by completion of AEA
- demonstrate industry engagement with the inclusion of a Partner Organisation in the application, provide their Australian Business Number and submit a signed Partner Organisation Declaration (see Appendix C) as part of the application in RMS
- commit to the Lead Organisation making a minimum contribution of at least 50 per cent of the total budget in cash and/or in-kind support from the combined participating organisations included in the application, and
- commit to completing their project within 24 months of the project's commencement date.

Note: Applications will not be considered if they do not meet all of the eligibility criteria.

The department cannot provide a grant if the Lead Organisation received funding from another Commonwealth Government source for the same stages of development listed in the Lead Organisation's AEA Innovate application.

2.1 Eligible Organisations

Only the Lead Organisation is eligible to apply for grants under AEA Innovate. A Lead Organisation must be a Table A or Table B provider listed in HESA, or bodies corporate that are in the 'University College' provider category listed in the *Higher Education Standards Framework (Threshold Standards) 2021*. Researchers must be affiliated with one of these providers to apply for AEA Innovate grant funding on their behalf.

There is no limit to the number of applications submitted per Lead Organisation.

2.2 Lead Organisations and Collaborating Organisations

The organisation that submits the application is the Lead Organisation. The Program Delegate will approve grants to, and impose conditions on the grant to, the Lead Organisation.

All other Table A and Table B providers, and other eligible bodies corporate, named on the application will be considered Collaborating Organisations. Applications may include multiple Collaborating Organisations. Collaborating Organisations are not required, but their inclusion may improve an application's performance against the selection criteria. Collaborating Organisations may, and are encouraged to, contribute at least one Collaborating Entrepreneur to carry out the responsibilities specified in the application.

The Lead Organisation and any Collaborating Organisations must contribute resources to their project. The department treats proposed cash and in-kind contributions equally for the purposes of calculating the maximum grant amount.

Applications must be submitted by an office bearer of the Lead Organisation who is authorised to do so on behalf of the Lead Organisation – for example, a Bursar, senior officer of a Research Office, senior officer of a Technology Transfer Office, or senior officer of an Office of the Deputy Vice Chancellor (Research). Prior to submitting their application, the Lead Organisation must ensure that they have sought relevant research commercialisation advice and review from their organisation.

2.3 Partner Organisations

Partner Organisations are a vital component for AEA Innovate. Partner Organisations are involved at every stage of an AEA Innovate project. They help guide the commercialisation path to be taken and may play the lead role in market analysis and prototype development. Multiple Partner Organisations may be included in an application. Partner Organisations may, and are encouraged to, contribute at least one Partner Entrepreneur to carry out the responsibilities specified in the application.

Partner Organisations need not commit to the full duration of an AEA Innovate grant but can define their role to a fixed shorter period related to a defined milestone.

Partner Organisations must contribute resources to their project. The department treats proposed cash and in-kind contributions equally for the purposes of calculating the maximum grant amount. For guidance on in-kind contributions, see Appendix B.

Each Partner Organisation must:

- be an Australian business entity that is a corporation; a company proprietary limited; or a non-profit organisation with an Australian Business Number (ABN) or Australian Company Number (ACN) and operate in Australia
- participate in the project within the grant period
- provide evidence of new or on-going collaboration directly with the Lead Organisation and Collaborating Organisations, where appropriate
- include a signed letter of support in the application (using the Partner Organisation Declaration in Appendix C), and
- demonstrate that they are not part of the excluded categories listed in Section 2.5 below by providing relevant ASIC or equivalent documents for each Partner Organisation, namely:
    - current and historical company information
    - roles and relationship extract, and
    - current Capitalisation (CAP) table showing, as a minimum, a list of shareholders and percentage of shares held.

An organisation cannot be a Partner Organisation if it is:

- a Lead or Collaborating Organisation
- an intellectual property (IP) holding company or university Technology Transfer Office (or equivalent).

Partner Organisation cash contributions cannot be sourced from funds awarded or appropriated by the Commonwealth for the purposes of research, including the Research and Development Tax Incentive (R&D Tax Incentive or R&DTI), nor from funds previously used to leverage government research or research infrastructure funding.

Where a Partner Organisation is a start-up and/or spin-out company controlled by any of the organisations or participants listed in the application, those involved in the proposed activities must act with the highest standards of probity in disclosing and managing conflicts of interest in this area. Each individual or organisation with an actual, potential, or perceived financial or non-financial interest or role in the spin-out or start-up company must disclose their conflict of interest and provide strategies on how this conflict will be managed in the application.

2.4 Types of named participants

Named participants are the individuals nominated for key roles identified in the AEA Innovate application. These are:

- Lead Entrepreneurs (LE)
- Collaborating Entrepreneurs (CE)
- Partner Entrepreneurs (PE).

Lead Organisations must nominate one, and only one, LE to lead the project. Other participating Entrepreneurs from the Lead Organisation must be nominated as CEs.

The Lead Organisation, Collaborating Organisation (if any) and the Partner Organisations must collectively commit to at least match (in cash and/or in-kind) the grant funds requested.

All named participants in an application must satisfy the eligibility criteria for the role they are to perform and take responsibility for the authorship and intellectual content of the application.

Limits on the number of applications and projects per named participant

This section only applies to LE, CE and PE involved in a project and is designed to ensure that named participants have the capacity to undertake each project in which they are involved.

It is the responsibility of the Lead Organisation to determine if applying for funding for a project under AEA Innovate will affect the named participants' ability to carry out their duties under an AEA Innovate grant, should the Lead Organisation's application be successful.

The Program Delegate may decide not to provide a grant to Lead Organisations in circumstances where the department assesses that the named participants in the project will be unable to carry out their duties as specified in the application.

Lead Entrepreneurs (LEs) must:

- Take significant intellectual responsibility for the conception and implementation of the project and for any strategic decisions required in its pursuit and the communication of results
- ensure effective supervision, support and mentoring at all times of project personnel
- be engaged by the Lead Organisation at the commencement date of the grant. Individuals engaged by the Lead Organisation may be employees, contractors, PhD students, or hold another position such as a statutory appointment or honorary position. If the Lead Organisation intends for the Lead Entrepreneur to be a PhD student, it is essential for the Lead Organisation to ensure that they remain compliant with other requirements relating to PhD students, such as those in the guidelines made for the purposes of Part 2-4 of HESA, currently the *Commonwealth Scholarship Guidelines (Research) 2017,* and the Lead Organisation's RTP Scholarship Policy if one exists.

LEs are not required to be engaged by the Lead Organisation at the point of submission of the application. However, they must have a contractual or other formal relationship (that meets the requirements listed above) with the Lead Organisation by the commencement of the project. The LE cannot be a PE or CE or sign letters of support on behalf of Partner Organisations or Collaborating Organisations.

Collaborating Entrepreneurs (CEs) must:

- take significant intellectual responsibility for the conception and conduct of the project and for any strategic decisions required in its pursuit and the communication of results
- ensure effective supervision, support and mentoring at all times of project personnel
- be engaged by a Lead or Collaborating Organisation at the commencement date of the grant.

Partner Entrepreneurs (PEs) must:

- take significant intellectual responsibility for the conception and conduct of the project and for any strategic decisions required in its pursuit and the communication of results
- be employed by a Partner Organisation.

2.5 Who is not eligible?

An application will not be eligible to be considered for an AEA Innovate grant if any of the following apply to any participating organisation – including Lead Organisation, Collaborating Organisation or Partner Organisation – mentioned in the application:

- the organisation is named as a person or entity on the following list: https://www.dfat.gov.au/international-relations/security/sanctions/consolidated-list
- the organisation is included on the National Redress Scheme's website on the list of 'Institutions that have not joined or signified their intent to join the Scheme' (www.nationalredress.gov.au)
- the organisation is named as an organisation that has not complied with the *Workplace Gender Equality Act 2012* (Cth)
- the organisation does not comply with all relevant legislation, policies or industry standards listed in section 8.3.

The department cannot provide a grant if the Lead Organisation has funding from another Commonwealth source for the same stages of development as in their AEA Innovate application. The application must specify the government funding the application has or will receive, and the TRL stage of development to which this funding contributes to.

2.6 Technology Readiness Level

Applications for AEA Innovate must be for the further development of technologies (devices, processes, potential medical products, and so on) for which laboratory proof-of-concept or equivalent has been already established.

This equates to the technology having already reached a Technology Readiness Level (TRL)of at least 5. As a guide, applicants can use the descriptions of TRLs in Appendix A. Projects which anticipate going beyond TRL 7 by the end of the grant period will be eligible if they are between TRL 5 to 7 at the commencement of the project.

The Lead Organisation will be asked in their application to show how they have demonstrated laboratory proof-of-concept, as well as the path they intend to take to advance the technology and commercial readiness of their product or process during the project.

2.7 Alignment with government identified priority areas

To be eligible, projects must at a minimum be aligned to at least one of the national priorities set out in the OGGRs. More information on these can be found at the National Reconstruction Fund website. These are:

- value-add in the resources sector

- value-add in the agriculture, forestry and fisheries sectors
- transport
- medical science
- renewables and low emissions technology
- defence capability
- enabling capabilities (such as data science, artificial intelligence and robotics).

The Lead Organisation will be expected to articulate how their application would contribute towards achieving that priority.

Within the above priorities, individual rounds of AEA Innovate may prioritise projects that align with particular focus areas.

For Round 2 (July 2025), AEA focus areas are (further detail on AEA focus areas is available on the AEA website):

- Critical and strategic minerals processing
- Sustainable fuels
- Agriculture and Food Technology
- Space
- Renewable energy
- Quantum
- Artificial intelligence
- Advanced manufacturing

Eligible applications for projects outside these 8 focus areas will be accepted but may be considered after those in focus areas.

2.8 Intellectual Property (IP)

Lead Organisations must provide details of IP arrangements in their applications. This includes both the use of IP in the project and the proposed ownership rights to IP created by the project.

The Lead Organisation must offer to use the Higher Education Research Commercialisation Intellectual Property Framework (HERC IP) when entering into agreements with third parties for activities related to the project funded by the AEA Innovate grant, and indicate to such third parties the successful Lead Organisation's preference to use the HERC IP Framework.

The Lead Organisation and their project partners must negotiate arrangements and procedures for using and handling all IP created through the project, in a manner that maximises the benefits to Australia and the partners. These arrangements may include the allocation of IP rights, or of the income from IP, between the Lead Organisation and their partners.

The Lead Organisation must warrant their ownership of and access to, or the beneficial use of, any IP necessary to carry out the project. The department does not claim ownership of any IP in an application or in any research arising from a project.

3. What the grant money can be used for

3.1 Eligible expenditure

The Lead Organisation can only spend grant funds on eligible expenditure incurred on an agreed project as defined in its CoG. Not all expenditure spent on the Lead Organisation's project may be eligible for grant funding. The Program Delegate makes the final decision on what is eligible expenditure and may provide additional guidance on eligible expenditure where required.

Budgets should be realistic, accurate and feasible in relation to the nature of the project. To be eligible, expenditure must be:

- a direct cost of the project, or
- incurred by the Lead Organisation for required project audit activities.

Eligible expenditure items may include:

a. **Personnel**, including:
- salaries and on-costs for personnel directly employed for the project activities (this should be calculated on a pro-rata basis relative to their time commitment using the formula detailed below). The Lead Organisation may increase eligible salary costs by an additional 30 per cent allowance to cover on-costs such as employer paid superannuation, payroll tax, workers compensation insurance, and overheads such as office rent and the provision of computers
- paying assistance to research students for the duration of the grant
- Lead Organisations should make clear the intention to supplement project staff salaries through grant funding including intended ratio.
    - o Lead Organisations should calculate eligible salary costs using the formula below:

$$Eligible\ Salary\ Costs = Annual\ Salary\ Package\ \times \frac{Weeks\ Spent\ on\ Project}{52\ Weeks} \times Percentage\ of\ Time\ Spent\ on\ Project$$

b. **Expert services** of a third party if services are directly related to and essential for the project, but only where it is not reasonable for similar services to be provided by inhouse capability of participating organisations, for example:
- design costs associated with constructing, assembling, installing and/or commissioning plants or prototypes
- advice required to obtain relevant regulatory approvals
- access to and use of specialist equipment.

c. **Travel** costs essential to the project, including economy travel costs for domestic and/or international travel and accommodation, for example to access specialised expertise. Eligible overseas activity expenditure (including international travel) is limited to 10 per cent of the total eligible expenditure unless prior written approval is given by the Program Delegate.

d. **Verifiable Plant and Equipment** costs, proportional to the time used for the project:
- depreciation costs of constructed, new or pre-existing plant

- running costs for new or pre-existing plant
- hire, rental, or leasing costs
- use of manufacturing facilities for the purpose of manufacture of prototype, or
- where new equipment is purchased, the eligible costs claimed must be proportional to the time used for the project. Disposal (i.e., sale) of plant and equipment should be at a fair market value, unless it is fully depreciated.
- purchasing of materials, equipment or services from overseas

e. **Other** costs directly relevant to the project, which may include:
  o staff development and training that supports the achievement of project outcomes
  o IP protection expenditure, such as costs associated with patenting
  o acquisition of new and leading-edge technology where adaptation to that technology will contribute directly to the success of the project. Where new technology is purchased, the eligible costs claimed must be proportional to the time used for the project. Disposal (i.e., sale) of technology (equipment) should be at a fair market value, unless it is fully depreciated
  o participation of lead or named participants in business or research Accelerator or Incubator programs available in Australia
  o costs of independent audit of project expenditure.

The successful Lead Organisation must incur the expenditure on their grant activities between the start and end dates of their grant period for it to be eligible.

For guidance on in-kind contributions, see Appendix B.

3.2 Eligible locations

It is expected the vast majority of the project activities and funding expenditure will occur in Australia. There may be some rare cases where components of a project may be undertaken overseas if the activity cannot be undertaken in Australia and is critical to the successful completion of the project. Any overseas component will need to be agreed by the department or Program Delegate.

3.3 Ineligible expenditure

The grant cannot be used for the following activities:

a. basic research or research activity that is not conducted for the purpose of showing or validating a function of the technology that will be important for the commercial outcome
b. activities unaligned to a priority of AEA Innovate
c. basic facilities that should normally be provided by a Lead Organisation, Collaborating Organisation, or Partner Organisation
d. costs associated with research undertaken at TRLs 1, 2, 3 and 4
e. capital works and general infrastructure costs
f. attendance at conferences
g. costs not directly related to the project, including but not limited to visas, relocation costs, insurance, mobile phones (purchase or call charges), and other indirect costs

h. paying fines or penalties

i. overseas expenditure beyond that described in section 3.1.

Grants cannot be used to cover costs incurred outside of the project timeline. These include retrospective costs and assistance to PhD students beyond 24 months.

The department may update this guidance on eligible and ineligible expenditure and in-kind contributions from time to time. If the Lead Organisation's application is successful, the version in place when they submitted their application applies to their project and is what will be included in the successful Lead Organisation's CoG.

The successful Lead Organisation must ensure they have adequate funds to meet the costs of any ineligible expenditure associated with the project.

4. The selection criteria

Assessment of applications against the selection criteria will support the grant decision process as described in Section 6 below.

The Lead Organisation must address all the selection criteria in their application. The selection criteria will be assessed in their entirety.

The Lead Organisation should provide evidence to support their answers. The amount of detail and supporting evidence provided in the application should be relative to the scale, complexity and requested grant amount. It is important to note that claims made by Lead Organisations, specifically claims made regarding potential impact or benefit of the project, should be quantified (where possible) to strengthen the application.

The EOI and application form include character, word, and page limits.

The Lead Organisation must attach a project management plan with their application.

4.1 Innovate EOI selection criteria

AEA Innovate EOIs will be assessed against the following criteria, which is an abbreviated version of the full selection criteria for an application (as per section 4.2) to reflect the abbreviated nature of the EOI:

4.1.1 – EOI: Innovation and technology readiness

Demonstrated through identifying:

1.1 *How the innovation or technology is aligned to at least one industry sector of the AEA Innovate priority areas*
1.2 *The novelty or unique selling point of the project outcome, along with its competitive advantage*
1.3 *Overview of R&D completed thus far, project momentum and reason for belief in potential of solution*
1.4 *Current TRL, and where the solution aims to be at the end of the project (technology readiness and commercial development).*

4.1.2 – EOI: Engagement with industry/commercial partner

Demonstrated through identifying:

2.1 *Engagement with an appropriate commercial partner*
2.2 *Substantial industry partner contribution to project delivery (e.g., cash, expertise, access to networks).*

4.1.3 – EOI: Commercial potential and market opportunity

Demonstrated through identifying:

3.1 Commercialisation pathway outlined and realistic with evidence of end user need

3.2 Strong evidence of IP position and IP Management Plan

3.3 The extent of current market (domestic and International) and/or industry interest in the innovation, or a potential new market opportunity

3.4 The commercial and/or societal opportunity or problem the solution looks to address, and where the technology being explored will make a meaningful impact. What is an estimated, realistic size and value of the addressable and serviceable market (or public good equivalent)? For example, what is the commercial value of the activity that this project will improve, and by how much?

4.1.4 – EOI: Capacity, capability and resources to deliver the project

Demonstrated through identifying:

4.1 Composition and strength of team, including time commitments (across functional areas). Clear description of scientific/technical expertise

4.2 Access to equipment, technology, infrastructure, and financial resources needed to carry out the project

4.3 Budget includes substantial of total cash and/or in-kind contribution from Lead Organisation, Industry Partner/s and/or Collaborating Organisations.

4.1.5 – EOI: Project impact

Demonstrated through identifying:

5.1 Achievable and realistic overview of project plan and why it will move towards commercial success

5.2 Potential for benefits to Australia and internationally

5.3 Description of next steps (technical and commercial).

4.2 AEA Innovate application selection criteria

The AEA Innovate selection criteria are:

4.2.1 – Application: Innovation and technology readiness

The application must provide clearly stated objectives and outcomes. The objectives should reflect all the relevant research and commercialisation components of the project. Additionally, the application should include relevant and specific information, and describe activities that demonstrate the following:

1.1 *The innovation or technology is aligned to at least one industry sector of the AEA Innovate priority areas*

1.2 *The innovation or technology is new or a breakthrough in existing technology, that is, describe its novelty and importance in comparison with existing solutions. For example, how will the proposed technology replace an existing technology; or how will it fill some requirement that is not currently possible; or how will it provide a significantly enhanced solution for a 'long felt need'?*

1.3 *The scientific feasibility, technical justification, approaches, procedures and methodologies the Lead Organisation proposes in order to develop and validate the innovation as it progresses through the TRL*

1.4 *Describe how the project activities will determine that the innovation is likely to be technically successful and what TRL will that achieve? What are the expected results/KPIs/metrics for the successful validation of the innovation, and whether the validation can be completed within the proposed project period?*

1.5 *What validation (standards or success criteria) do you have from industry to demonstrate that achieving this outcome will be recognised by them as having achieved the required technology readiness level?*

1.6 *The governance, risk and quality assurance processes proposed to review or audit the technical readiness of the innovation throughout the project.*

4.2.2 – Application: Engagement with industry/commercial partner

The application should provide relevant and specific information about:

2.1 *The input or feedback from industry and/or potential investors regarding project objectives and the key technical and commercial questions that would need to be satisfied including key commercial risks*

2.2 *Industry, commercial or business partner(s) identified or engaged for the project and the basis for the collaboration, that is, the partner(s) involvement to develop, deploy and/or commercialise the innovation including any IP licensing and commercialisation arrangements (specifically, use of existing IP in the project). Note: Your response to any IP generated by the project should be covered under the response to the 'Commercial potential and market opportunity' criteria*

2.3 *Describe if the partner(s) is an existing company with activities in the marketplace (for example, a manufacturer or a company providing services), or is the partner(s) established for the purpose of this project (for example, a start-up company formed around this market opportunity and supported by a financial investor or venture capital fund), or some other commercial interest*

2.4 *Evidence detailing the partner(s) proposed engagement in the project, including their financial contributions, business collaborators and access to their personnel (and their role(s) in the project), supply of equipment, technology access and infrastructure needed to carry out the project*

2.5 *Track record of partner(s), their years of investment and market expertise and success in the technology or related area, any existing intellectual property rights held in the technology area (trademark, patents, designs and copyright), and geographic reach.*

4.2.3 – Application: Commercial potential and market opportunity
The application should describe the Lead Organisation's potential ability to commercialise the innovation and provide relevant and specific information about:

3.1 *A commercialisation strategy to take your innovation to the market, including plans for protection of intellectual property (IP)*
> (a) *Outline the planning of the commercial strategy to date (for example, market validation testing with industry experts, freedom to operate analysis, intellectual property analysis and any lodged patent applications)*
> (b) *Outline proposed negotiation arrangements and procedures for using and handling all IP created through this project, in a manner that is fair to all partners and beneficial to Australia. For example, this may include allocation of IP rights, or of income from IP, between you and your partner(s)*

3.2 *The extent of current market and/or industry interest (or in some cases, significant public interest) in the innovation, or a potential new market opportunity*
> (a) *What are the markets for which this technology would make a significant impact (for example, whether in supply chain or service or a complete product for sale)?*
> (b) *Is the proposed technology applicable to existing industry in Australia, or is it a 'new to world' technology that would more likely be the basis of new industry sectors, both in Australia and/or internationally?*

3.3 *What is the commercial and/or societal opportunity or problem the solution looks to address where the technology being explored will make a meaningful impact? What is an estimated, realistic size and value of the addressable and serviceable market (or public good equivalent)? For example, what is the commercial value of the activity that this project will improve, and by how much?*

4.2.4 – Application: Capacity, capability and resources to deliver the project
The application should provide adequate and relevant information about:

4.1 *The track record, skills, and expertise (technical and business) of the project team including their defined roles and responsibilities, and time dedicated to the project*

4.2 *Access to equipment, technology, infrastructure, and financial resources needed to carry out the project*

4.3 *A project management plan detailing the scope and objectives, implementation plan, activities and milestones, including clear phasing of milestones, budget, risk management, governance and performance measures. The need for ongoing commercialisation interaction and support during the project is important and your project plan should clearly articulate how these interactions are*

likely to be carried out in parallel with the project. The Project Management Plan, at a minimum, must include:

(a)   Statement of the scope of the project providing a clear expression of the objective of the project, and how its success could be demonstrated

(b)   Clear implementation timetable (activity schedule) including tangible milestones which correspond to decision or review points (project end point milestones within the project as a whole) on the commercial-readiness pathway for the project. For example, 'achieve system/process prototype verification in an operational environment'

(c)   A detailed budget covering all project costs including costs associated with establishing and protecting intellectual property. The budget must identify, where appropriate, industry and university co-investment and other resources committed to the project

(d)   The roles and responsibilities of each participating organisation, details of arrangements and a list of all key management and technical staff, including their relevant experience. Details of any contractors that you have, will or intend to engage as part of the project

(e)   Clear expression of the project starting point. For example, "we have shown that this technology is likely to work in principle, by demonstrating ………………". The starting point must be at a TRL of 5 to 7

(f)   Clear expression of the anticipated end-state of your project (for example, adoption and uptake by industry; or creation of a start-up entity to market the outcome). The anticipated end-state should be at a higher TRL than the project starting point

(g)   A risk management plan identifying known risks and uncertainties, and how they will be managed (including key personnel and technical issues that the project must address and resolve during the course of the project).

4.2.5 – Application: Project impact

The application should provide adequate and relevant information, and describe the following:

5.1 The impact of the AEA Innovate grant funding in undertaking this project in terms of scale and timing, and the likelihood your project would proceed without the grant.
What other sources of funding are being explored for the purpose of progressing this project?
What is the likelihood of receiving other funding to proceed with the project?

5.2 The project's alignment with AEA objectives and outcomes, and the benefits (economic, social and/or environmental) that could result in the short, medium and long-term for Australia

5.3 The total investment the grant will leverage and why the Australian Government should invest in your project, including how grant benefits will be substantially retained in Australia

5.4 The project's potential to leverage and foster further investment opportunities via university-led research commercialisation pathways, both in Australia and internationally.

5. How to apply

Before applying, Lead Organisations must read and understand these Guidelines, Division 42 of HESA, Chapter 5 of the OGGRs, and all AEA Innovate supporting material on the AEA website.

To apply, the Lead Organisation must:

Submit an Expression of Interest (EOI) on RMS (www.education.researchgrants.gov.au). The EOI will allow Lead Organisations to submit information regarding their project and commercial viability.

Complete an online AEA Stage 2 - Innovate application on RMS (www.education.researchgrants.gov.au):
- provide all the information requested
- meet all eligibility criteria and address all selection criteria
- include all requested and necessary attachments, and
- submit the application/s by the closing date and time outlined on the AEA website.

Lead Organisations are responsible for ensuring applications are complete and accurate. Giving false or misleading information is a serious offence under the *Criminal Code Act 1995.* The department will investigate any false or misleading information, which may exclude the Lead Organisation application from further consideration.

If the Lead Organisation finds an error in their application after submitting it, the Lead Organisation should contact the department immediately via AEA.Innovate@education.gov.au. The department does not have to accept any additional information, nor requests from the Lead Organisation to correct their application after the closing time.

If the department finds an error or information that is missing, they may ask for clarification or additional information from the Lead Organisation that will not change the nature of the Lead Organisation's application. Once the Lead Organisation's application is submitted through RMS, the Lead Organisation may be invited to interview with the Priority Managers, Board or other assessors regarding their project. However, the department can refuse to accept any additional information from the Lead Organisation that would change the submission after the closing date.

The Lead Organisation should keep a copy of their application and any supporting documents.

The department will acknowledge receipt of the Lead Organisation's application through a system-generated email.

The same Lead Organisation may choose to submit more than one AEA Innovate application at the same time, provided they are substantively different.

If Lead Organisations need further guidance on the application process or are unable to submit an application, they may contact the department at AEA.Innovate@education.gov.au.

If Lead Organisations need technical support for RMS, contact the Australian Research Council (ARC), which manages RMS:

- RMS Support Desk Phone: (02) 6287 6789

- RMS Support Desk Email: RMSSupport@arc.gov.au

There is also information about RMS on the ARC Website – Research Management System (RMS) Information and on the RGS Website – General Information about RMS.

5.1 Facilitation and application development

The department, through the AEA Executive Director and Priority Managers, may seek to work with Lead Organisations or potential Lead Organisations and their partners prior to application periods opening.

The department may also facilitate collaboration between Lead Organisations with similar or complementary applications, or between Lead Organisations and other organisations or funding bodies.

Any such facilitation of collaboration, including the release of confidential information to another Lead Organisation or individual, will only be made following receipt of the Lead Organisation's consent.

When facilitating collaborations, the department is not responsible or liable for any comments, consultation or assistance provided by the department, its staff or any consultants, and the facilitation must not be taken to imply that the department will offer funding for the project.

The department recommends that Lead Organisations seek their own independent legal, technical, and financial advice before proceeding with departmental facilitation of their application.

6. The grant selection process

6.1 Assessment of grant applications

The department will review the application against the eligibility criteria. Applications that do not meet all the eligibility criteria will not progress to the merit assessment stage.

The department, including its staff, the AEA Executive Director, Priority Managers, external expert assessors, and the AEA Advisory Board, will then assess eligible applications against the selection criteria and against other applications. When conducting eligibility checks or assessing applications, the department may request further information from a Lead Organisation regarding their project, Collaborating Organisation or Partner Organisations. During the assessment process, the department or AEA Advisory Board may request interviews with Lead Entrepreneurs and/or Collaborating or Partner Organisation representatives.

The application will be considered on its merits, based on:

- how well it meets the selection criteria
- how it compares to other applications
- how well it aligns with program priorities (Section 2.7 above)
- whether it provides value with relevant money.

The department may ask external Expert Advisors to inform the assessment process. Any Expert Advisor who is not a Commonwealth Official, will be required to perform their duties in accordance with HESA, the OGGRs and these Guidelines.

When assessing the extent to which the application represents value with relevant money, the department will have regard to the:
- overall objective of the grant opportunity
- extent to which the evidence in the application demonstrates that it will contribute to meeting the program objectives
- anything identified during the due diligence process conducted in relation to the application.

As part of the department and AEA's commitment to helping uplift research translation and commercialisation activity on a national scale, applicants should address how their project includes researchers from diverse backgrounds. These include and are not limited to female identified entrepreneurs or researchers, First Nations' entrepreneurs and researchers from regionally headquartered institutions.

The AEA Executive Director and Priority Managers will make recommendations to the AEA Advisory Board, who will then make recommendations to the Program Delegate regarding which applications to approve for a grant. The Program Delegate will consider the recommendations and risks regarding applications identified during the assessment processes, including but not limited to national interest, national security, financial viability, or any other risks identified.

6.2 Who will approve grants?

The Program Delegate has been delegated the power to approve grants under HESA by the Minister for Education. The Program Delegate decides which grants to approve, considering recommendations of the AEA Advisory Board, the AEA Executive Director and Priority Managers, and the availability of grant funds for the purposes of AEA Innovate.

The Program Delegate's decision is final in all matters, including the:

- approval of the grant
- grant funding amount to be awarded
- conditions imposed on the grant.

6.3 National Security and Due Diligence

Australia's Economic Accelerator (AEA) attracts research proposals from Australian universities aiming to develop cutting-edge technology, with an emphasis on building Australia's sovereign capability in research translation and commercialisation and facilitating economic growth.

Australia's world-class performance and reputation in research is intrinsically linked with the globally engaged and open nature of Australian universities. While international collaboration is permitted, and can be essential to advancing research, it may also include risks with the potential to compromise research and scientific development critical to Australia's social and economic prosperity.

The department recognises that, due to the critical importance of the government identified priority areas to Australia's interests, the risks associated with inadvertent transfer of research, expertise or data counter to those interests must be mitigated.

In addition to each university's obligations to exercise due diligence and manage foreign interference risks (refer section 8.3 of these guidelines), the department will conduct a national security due diligence check as part of the assessment process.

Every application will undergo a due diligence process designed to assist the AEA Program Teams and Priority Managers to identify and flag any potential concerns. Additional information to support due diligence checks may be requested for shortlisted applicants and their partner organisations, including but not limited to credit checks, company officer checks, financial checks, intellectual property ownership, beneficial interest and deal terms checks, shareholding, controlling interest, conflict of interest management, reference and employment checks on key staff and other project governance and management and technical related queries related to the project. Completion of a due diligence check will not preclude an application from progressing through to the merits assessment.

The due diligence process is a risk mitigation strategy to ensure that applications meet the objectives of AEA especially in view of potential Intellectual Property (IP), National Security or Organised Crime risks.

The process was informed by lessons learned from the AEA Seed pilot along with a range of national security policy frameworks from across government including:

- The University Foreign Interference Taskforce (UFIT) Guidelines to Counter Foreign Interference in the Australian University Sector 2019

- Department of Foreign Affairs and Trade's (DFAT) sanctions regime
- The Foreign Arrangements Scheme
- Foreign Influence Transparency Scheme
- Defence Export Controls
- Critical Minerals Strategy 2023–2030, and
- Critical Technologies in the National Interest.

7. Notification of application outcomes

The department will advise Lead Organisations of the outcome of their application in writing. A notification will also be available to Lead Organisation on RMS. If a Lead Organisation is successful, the department will advise them of any specific conditions imposed on the grant.

If the Lead Organisation is unsuccessful, feedback will be provided on why applications were not successful.

The Lead Organisation can submit a new application for the same project (or a similar project) in any future grant opportunities under AEA Innovate. The Lead Organisation should include new or more information to address any feedback that the Lead Organisation received regarding their previously submitted application.

8. Successful grant applications

The Program Delegate will impose conditions on the grant, which will be provided to the successful Lead Organisation in writing. The Lead Organisation will not receive grant funding, nor be able to incur eligible expenditure, until the conditions are imposed, and any other conditions set by the Program Delegate are met.

The Program Delegate may decide to fund only some aspects of the project and the Lead Organisation can decide to apply again for further funding.

8.1 Project Management Plan

Lead Organisations must include a detailed Project Management Plan as part of their application in RMS. The Project Management Plan must demonstrate achievement against selection criteria 4.2.4 and should demonstrate meaningful outcomes at each stage or milestone. This is important as the Program Delegate has the discretion to partially or fully fund applications, and applications seeking higher amounts of grant funding will attract greater attention on incremental progress and final outcomes as specified in the Project Management Plan.

8.2 Conditions of Grant (CoG)

The CoG will include key performance indicators and milestones appropriate to each project. The details of the CoG, including the payment schedule and milestones, will be informed by the grant application and Project Management Plan. AEA will use the standard CoG template available on its website.

The CoG will include, at minimum, the following:

- the name and details of the successful Lead Organisation
- total funding for the grant activity, including if payments are to be made upfront or by agreed milestones
- commitment of cash and/or in-kind contributions from organisations in the application
- a description of activities to be undertaken and milestones to be met
- agreed performance indicators and outcomes for the project, and
- reporting requirements, including the frequency of, and information required in, reports.

Subject to the operation of Part 2-5 of *HESA*, the Minister for Education may seek to reduce the amount of a successful Lead Organisation's grant should the project fail to meet key milestones or deliver key objectives as specified in the CoG.

The department reserves the right to audit any evidence on which an application is based.

Successful Lead Organisations may transfer AEA Innovate funding to one or more Collaborating or Partner Organisations. The funding arrangements for AEA Innovate grants must be reflected in a legally binding partnership agreement with participating organisations.

A CoG document is a mechanism for the Minister (or their delegate) to unilaterally impose conditions on a grant that the Commonwealth is providing under Part 2-3 of HESA. As the Minister or

their delegate imposes such conditions unilaterally, successful Lead Organisations are not required to sign the CoG, and they accept the conditions imposed on the grant when they accept the grant.

Acceptance of AEA Innovate CoGs by Lead Organisations will be time limited. Once the Project Management Plan has been finalised and accepted by the department, the successful Lead Organisation will have a specified period to agree to the CoG from when it is issued by the department. The offer may lapse if Lead Organisations do not agree to the CoG within the specified timeframe.

For the purposes of AEA Innovate, CoG will not be negotiable.

If a successful Lead Organisation does not agree to the CoG, a grant will not be made by the Program Delegate, and they will not receive the grant funding.

8.3 Legislation, policies and industry standards

The Lead Organisation and all other participating organisations must comply with all relevant laws, regulations and Australian Government policies in undertaking their project including HESA, the OGGRs and any CoG. The Lead Organisation, and all other participating organisations, must also comply with the specific legislation/policies/industry standards that follow. It is a condition of the grant funding that the Lead Organisation meet these requirements.

Lead Organisations are required to be compliant with all relevant laws and regulations, and may be requested to demonstrate compliance with the following legislation and policies:

- Australian Code for the Responsible Conduct of Research
- NHMRC/ARC/UA National Statement on Ethical Conduct in Human Research
- Guidelines to Counter Foreign Interference in the Australian University Sector
- The Foreign Arrangements Scheme[1]
- Foreign Influence Transparency Scheme[2]
- Defence Export Controls[3]
- *Commonwealth Modern Slavery Act 2018* and the National Action Plan to Combat Modern Slavery 2020-2025
- The National Redress Scheme[4]
- *Workplace Gender Equality Act 2012 (Cth)*
- State/Territory legislation in relation to working with children/vulnerable people
- All relevant ethics codes and guidelines adopted by the Office of the Gene Technology Regulator, and all other relevant regulatory agencies operating in Australia and in any place in which the research is being conducted.

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[1] https://www.foreignarrangements.gov.au/
[2] https://www.ag.gov.au/integrity/foreign-influence-transparency-scheme
[3] https://www.defence.gov.au/business-industry/export/controls
[4] Home | National Redress Scheme

To be eligible for a grant, Lead Organisations must declare in their application that they comply with these requirements. The Lead Organisation will also need to declare that they can meet these requirements in their CoG.

8.4 Grant payments and GST

All amounts referred to in these guidelines are exclusive of the Goods and Services Tax (GST), unless expressly stated otherwise. The Lead Organisation is responsible for all financial and taxation implications associated with receiving grant funds.

All AEA grant payments are executed through scheduled payments in the Unipay system. The schedule of payments is available in the draft CoG each recipient is provided. The Unipay system has set timeframes in which funding is made available on a monthly basis. Lead Entrepreneurs should liaise with their institutions internal finance team regarding disbursement of grant funding to projects.

Invoices are not required to be submitted. Any invoices received by the department for an AEA grant will be returned to the Lead Organisation.

The department will make an initial payment at the start of the agreed grant period. The department will make subsequent payments in advance, based on the Lead Organisation's forecast eligible expenditure and adjusted for unspent amounts from previous payments. Payments are subject to satisfactory progress. Grants under AEA Innovate may be approved by the Program Delegate in stages, and the approval of the next stage of grant funding may be subject to the achievement of milestones set out in the CoG.

The department will set aside, at minimum, 10 per cent of the total grant funding for the final payment. The department will pay this when Lead Organisations submit a satisfactory final report demonstrating they have completed all outstanding obligations.

9. Announcement of grants

Approved grants will be announced by the department on its website, on the Australian Research Council's Data Portal, and may also be announced by the Minister for Education. Information that is likely to be in the public announcement includes:

- named participants and professional titles
- Lead Organisation and the State or Territory of that organisation
- Collaborating and Partner Organisation(s)
- funding awarded
- project ID
- summary of the project
- project duration.

Lead Organisations should ensure that information contained in the project title and summary descriptions will not compromise their obligations related to confidentiality and IP.

The Lead Organisation will be notified in writing prior to any announcement.

10. How the department monitors the Lead Organisation's grant activity

10.1 Keeping the department informed

The successful Lead Organisation must advise the department:

- if anything is likely to or will affect their project or organisation
- of changes to their organisation or business activities where they affect their application, affect their ability to complete the project, carry on business and pay debts due
- immediately if they become aware of a breach of the CoG
- of public or promotional events relating to their grant and provide an opportunity for the Minister or their representative to attend.

10.2 Acknowledgements

If the successful Lead Organisation makes a public statement or produces promotional material about a grant or project funded under AEA, the department will require them to acknowledge the grant by using the following:

> **'This [name of grant activity or project/services] received grant funding from the Australian Government.'**

10.3 Reporting

The successful Lead Organisation must submit reports consistent with the reporting requirements as specified in their CoG.

The department may require and request reports in the course of a project which will function as reviews on achievement of milestones and performance indicators. These may be used to determine whether the department makes a milestone payment at the designated time, or if a project requires a variation to its CoG. AEA Innovate grants may be approved by the Program Delegate in stages, and the approval of the next stage of grant funding may be subject to the achievement of particular milestones by the successful Lead Organisation. Where a milestone is not met, or other conditions imposed on a grant are breached, the Minister for Education may exercise their power to reduce or require repayment of a grant amount under Part 2-5 of HESA.

At a minimum, the successful Lead Organisation will be required to submit a final report including:

- project outcomes, including achievements such as patents, trademarks or Plant Breeders Rights awarded; joint researcher/industry publications; spin-out and start-up companies established; jobs created; options and assignments on IP taken up; and movements of personnel between universities and businesses
- the total eligible expenditure incurred
- eligible cash and in-kind contributions of participants directly related to the project

- any significant commercialisation obstacles or challenges experienced
- lessons learned in undertaking the project.

The amount of detail the successful Lead Organisation provides in their reports should be relative to the size, complexity and grant amount.

The successful Lead Organisations must discuss any potential or actual reporting delays with the department as soon as they become aware of them.

The department may ask successful Lead Organisations for ad-hoc reports on their grant. This may be to provide an update on progress, or any significant delays or difficulties in completing the project within the agreed grant timeframes.

The department may visit the successful Lead Organisations during or at the completion of their grant activity to review their compliance with the CoG. The department will provide the successful Lead Organisations with reasonable notice of any compliance visit.

The department may also inspect the records the successful Lead Organisations are required to keep under the CoG.

10.4 Financial declaration and audit

The successful Lead Organisation will be required to provide an audited financial acquittal report that provides a declaration that the grant funds were spent in accordance with the CoG and to report on any unspent grant funds.

An audited financial acquittal report must be prepared by a suitably qualified individual. It must include an income and expenditure statement for the grant audited by a:

- registered Company Auditor under the *Corporations Act 2001 (Cth)*
- member of CPA Australia
- member of the Institute of Public Accountants in Australia, or
- member of the Institute of Chartered Accountants in Australia.

10.5 CoG variations

The CoG will require that the successful Lead Organisation must not make any substantial changes to the activities, timeline, or budget of the project without the prior written approval of the Program Delegate.

Generally, such changes will require a variation to the CoG. Requests to vary the CoG must be made in writing and addressed to the Program Delegate specified in the CoG. Requests must include the nature and reason for the variation, the likely impact of the variation on the project (including elements such as progress, achievement of outcomes, time, budget, and resources), and supporting information or evidence.

Approval of variations to the CoG is at the discretion of the Program Delegate.

10.6 Evaluation

The department will evaluate AEA from time to time to determine how well it is being delivered and how well expected outcomes and objectives are being achieved. The department may use information from the successful Lead Organisations' application and their project reports for this purpose. The department may also interview the successful Lead Organisation or ask them for more information on their views of AEA, their suggestions for improvement, or what the impact of the grant was from their perspective.

The successful Lead Organisation and their collaborators may be contacted up to 7 years after the successful Lead Organisation's grant finishes, for information to assist with evaluation.

11. Probity and Decision-making framework

The department and the Australian Government will make sure that the grant decision making process is fair, according to these published Guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct and is consistent with HESA and the OGGRs.

11.1 Enquiries, complaints and reviews

Questions from potential Lead Organisations should be directed towards their university's research office or Technology Transfer Office in the first instance.

The department's complaints process applies to complaints about this grant opportunity. For information on the process and how to lodge a complaint see the department's Complaints website page.

A decision by the Program Delegate to not approve an AEA Innovate grant under section 41-20 of HESA is a reviewable decision under HESA. Unsuccessful Lead Organisations have 28 calendar days after being notified of the decision to seek a review. Requests for review of AEA Innovate decisions must be lodged in writing and directed to the AEA Innovate Program Manager at:

> AEA Innovate Program Manager
> Department of Education
> LOC: C50MA7
> GPO Box 9880
> CANBERRA ACT 2601
> Australia
> Email: AEA.Innovate@education.gov.au

If a Lead Organisation does not agree with the way the department has handled their complaint, they may complain to the Commonwealth Ombudsman. The Ombudsman will not usually investigate a complaint unless the matter has first been raised directly with the department.

The Commonwealth Ombudsman can be contacted on:

> Phone (Toll free): 1300 362 072
> Email: ombudsman@ombudsman.gov.au
> Website: www.ombudsman.gov.au

11.2 Conflicts of interest

Any conflicts of interest could affect the performance of the grant opportunity or AEA. There may be a conflict of interest, or perceived conflict of interest, if the department's staff, the AEA Executive Director, Priority Managers, any member of a committee or advisor, the AEA Advisory Board and/or the Lead Organisation or any of their personnel has a:

- professional, commercial, or personal relationship with a party who can influence the application assessment selection process, such as an Australian Government officer or Priority Manager, or Expert Advisor,
- relationship with or interest in, an organisation, that is likely to interfere with or restrict the Lead Organisations from carrying out the proposed activities fairly and independently, or
- relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives a grant under AEA.

The Lead Organisation will be asked to demonstrate, as part of their application, that, at the time the grant will be made, all actual or perceived conflicts of interest, pecuniary or otherwise, both within and outside Australia, that exist in relation to the conduct of the proposed project have been disclosed to the department and that the Lead Organisation has taken steps required by the department to resolve or address the conflict. Each individual or organisation named in an application must declare any actual or perceived conflict of interest that exists, is likely to arise, or does arise in relation to any aspect of the application or project to the Lead Organisation for inclusion in the application.

Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. Any member of a committee, the AEA Advisory Board and other officials including the decision maker must also declare any actual or perceived conflicts of interest.

If Lead Organisations later identify any actual or perceived conflicts of interest, pecuniary or otherwise, both within and outside Australia, they must inform the department in writing immediately and take any steps that the department requires to resolve or address the conflict.

11.3 Confidentiality

Disclosure and use of ***Australia's Economic Accelerator program information*** ('AEA program information') is managed under Division 181 of HESA. The Department will manage and use Lead Organisations' information consistently with these provisions.

As set out in section 181-10 of HESA, AEA program information is any information that was obtained or created by an officer for the purposes of the AEA.

Under Division 181, an officer who discloses, copies or records AEA program information other than in the course of official employment, commits an offence if the information is personal information, or the officer's actions are likely to cause competitive detriment to a person or found an action for breach of confidence. An officer is an employee of, or somebody who performs services for or on behalf of, the Commonwealth, a higher education provider, Open Universities Australia or a Tertiary Admission Centre (see section 179-15). This would include Departmental employees working on the program, the AEA Executive Director and other Priority Managers. This offence is set out in section 181-15 and has a maximum penalty of imprisonment for 2 years unless an exception in the division applies.

Relevant exceptions set out in the division are:

- if the person to whom the information relates has consented to the disclosure, or to the making of the copy or record (subsection 181-15(2))
- if the disclosure, or the making of the copy or record, is required by a law of the Commonwealth (subsection 181-15(4))
- if the disclosure is to the Minister for Education or their staff (section 181-20) and
- if the disclosure relates to information of a general nature, such as the name of a researcher, description of a field, or amount of a grant, and is being made publicly available by the Minister (section 181-25).

As set out in section 181-5 of HESA, the object of Division 181 is to give confidence that personal information and other sensitive information provided in relation to an application and the AEA will be dealt with appropriately.

11.4 Freedom of Information

The department is subject to the _Freedom of Information Act 1982_ (FOI Act). The objective of the FOI Act is to make available information about the operations of departments, to create a general right of access to information in the possession of Ministers, departments and public authorities and also to create a right for people to amend records containing personal information that is incomplete, incorrect or misleading.

Anyone can make a freedom of information (FOI) request. A Lead Organisation is not obligated to state a reason for their request, nor can the department ask for a reason.

All documents held by the department can be subject to a FOI request, however, in some cases exemptions from disclosure may apply.

A valid request is one which is in writing, states that it is a request for the purposes of the FOI Act, provides enough information about a requested document to enable its identification, gives details on how notices under the FOI Act may be sent to the Lead Organisation (the return address may be a physical, postal or electronic address) and must be sent to the department either by post, email or fax or delivered in person.

All requests should be made directly to the FOI Coordinator: foi@education.gov.au.

12. Privacy

12.1 Privacy

The department is bound by the AEA program information management provisions in Division 181 of HESA. The department will only manage and use AEA program information consistent with these provisions. These provisions also bind the AEA Executive Director and other Priority Managers. The relevant requirements and exceptions are set out in the Confidentiality section at 11.3.

The department is also bound by the Australian Privacy Principles in the *Privacy Act 1988* (*Privacy Act*). The department uses and discloses personal information only for the purposes for which it was provided, or for a secondary purpose if an exception applies.

The exceptions include where:

- the individual has consented to a secondary use or disclosure
- the individual would reasonably expect the department to use or disclose their personal information for the secondary purpose, and that purpose is related to the primary purpose of collection, or, in the case of sensitive information, directly related to the primary purpose
- the secondary use or disclosure is required or authorised by law
- a permitted general situation exists in relation to the secondary use or disclosure, and
- it is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of public revenue.

In this situation, the department is collecting any personal information for the purposes of AEA.

For the purposes of administering AEA and assessing applications, the department may:

- provide personal information contained in the application to third parties for the purposes of assessment for potential other funding opportunities
- copy, modify and otherwise deal with information contained in the application for the purpose of conducting the funding round
- share the personal information contained in the application with other government departments and agencies for the purposes of AEA.

Personal information may be collected from the Lead Organisation, and other individuals involved in the project, for the purposes of AEA, and will be used by the department, the AEA Advisory Board, and Priority Managers for the purposes of AEA.

The department takes all reasonable measures to ensure that personal information it collects is accurate, up to date and complete. These measures include updating and maintaining personal information when the department is advised by individuals that information has changed.

The department also takes all reasonable steps to ensure that the personal information it holds is protected against loss, unauthorised access, use, modification or disclosure and other misuse.

Any individual may contact the department to obtain information about how to request access to or changes to the information the department holds about them.

Access may be given unless the department considers that there is a sound reason under the *Privacy Act*, the *Freedom of Information Act 1982* or other relevant law to withhold the information.

The department's Privacy Policy contains more information about the way in which the department will manage personal information, including information about how individuals may access and seek correction of their personal information held by the department. The Privacy Policy also contains information on how individuals can complain about a breach of privacy and how the department will deal with such a complaint.

For the department's Privacy Policy, go to https://www.education.gov.au/about-department/resources/department-education-complete-privacy-policy

Lead Organisations submitting an application for AEA Innovate should be aware that any personal information on their RMS profile (including information that does not appear in the pdf and is hidden from assessors) is visible to other users of RMS, including Commonwealth staff and other Registered Organisations.

All requests for access to personal information should be made to the Privacy Officer: privacy@education.gov.au, or in writing to:

> Privacy Officer
> Legal Services
> Department of Education
> LOC: C50MA10
> GPO Box 9880
> Canberra ACT 2601

12.2 Indigenous status

To complete a profile within the RMS, participants must answer a question about their Indigenous status. The information about Indigenous status is not used to assess applications. However, it will be visible to other users of RMS. It will also be used as part of the department's evaluation of AEA.

12.3 Third party personal information

Lead Organisations that include third-party personal information in the Project Summary of the application form must obtain consent from the third-party individuals, prior to the publication of that information.

12.4 Privacy requirements for Lead Organisations

Lead Organisations must ensure that:

- If any personal information in an AEA Innovate application submitted through RMS has not been provided directly by the individual to which the information relates to (named or

unnamed participant), the individuals named in the application must have consented to that information being used and disclosed in accordance with these Guidelines.

- They obtain the consent of participants to the publication of their names, fields of research and institution provided in an AEA Innovate application.
- They notify individual participants (including from Collaborating or Partner Organisations) involved in the AEA Innovate application, that if their application is successful, their name, field of research and institution may be published by the ARC, the department and/or the Minister in accordance with section 9 of these Guidelines.

13. Glossary

Term	Definition
AEA	Australia's Economic Accelerator, the program under which funding is given, established under Chapter 5 of the OGGRs
AEA Advisory Board	The Board appointed by the Minister under, Subdivision 42-B of HESA. Members collectively possess experience in research commercialisation and advise the Minister on that topic as well as on the program's objectives, conditions of eligibility and CoG.
AEA Executive Director	The senior Priority Manager engaged by the Secretary for the purposes of section 42-75 of HESA. The AEA Executive Director is a highly qualified, experienced, and motivated business and technology specialist, who will also work with Lead Organisations to foster connections and formal collaboration arrangements with industry partners. The other Priority Managers will support the AEA Executive Director by providing technical expertise within the government identified priority areas.
AEA focus areas	For Round 2, the AEA focus areas are (further detail on the AEA focus areas is available on the AEA website): • Critical and strategic minerals processing • Sustainable fuels • Agriculture and Food Technology • Space • Renewable energy • Quantum • Artificial intelligence • Advanced manufacturing
AEA Website	The website approved by the department as AEA's official website: www.aea.gov.au
Application	A request for funding submitted through RMS by a Lead Organisation seeking grant funding under the AEA Innovate grant program. It includes the specifics of a proposed grant activity as well as the administrative information required to determine the

Term	Definition
	eligibility of the application. The application must include the information required by these Guidelines and the OGGRs.
Australian Government identified priority areas (AEA national priority areas set out in OGGRs)	1. Value-add in resources 2. Value-add in agriculture, forestry and fisheries 3. Transport 4. Medical science 5. Renewables and low emission technology 6. Defence capability 7. Enabling capabilities such as data science, artificial intelligence and robotics
Collaborating Organisation	The organisation referred to in section 2.4 of these Guidelines.
Commencement date	The expected start date for the grant activity.
Commonwealth	The Commonwealth of Australia, also referred to as the Australian Federal Government.
Conditions of Grant (CoG)	The document in which the Program Delegate has imposed conditions on the AEA Innovate grant made to the successful Lead Organisation under subsection 41-25(2) of HESA.
Department of Education or department	The Commonwealth Government agency responsible for administering the AEA.
Eligibility criteria	Refers to the mandatory criteria which must be met to be eligible for a grant, set out in section 2 of these Guidelines and Chapter 5 of the OGGRs.
Expert Advisors	Individuals with technical and/or subject matter expertise within a government identified priority area that may provide input into suitable projects.
Grant	A grant made under the AEA Innovate stream of the AEA as specified in Chapter 5 of the OGGRs.
Grant activity/activities	Refers to the project/tasks/services that the Lead Organisation is required to undertake.
Grant opportunity	Refers to the specific grant round or process where a Commonwealth grant is made available to successful

Term	Definition
	Lead Organisations. Grant opportunities may be open or targeted and will reflect the relevant grant selection process.
GST	Has the meaning as given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999.*
HERC IP Framework	[Higher Education Research Commercialisation Intellectual Property Framework](#) A framework to assist IP management and negotiation in university-led research commercialisation. HERC IP provides standardised IP licensing and contractual agreements as well as education and guidance materials to establish a common and clear starting point to negotiations.
HESA	The *Higher Education Support Act 2003.*
In-kind contribution	In-kind contributions are non-monetary resources used on the project where no cash has been transferred to the Lead Organisation's account(s) for the project. A contribution of goods, services, materials and/or time to the project from an individual, business or organisation. Values should be calculated based on the most likely actual cost, for example, current market, preferred provider or internal provider rates/valuations/rentals/charges (that is in the financial year of the date of the application) of the costs of labour, workspaces, equipment and databases. The calculations covering time and costs should be documented by the Lead Organisation. The department may require these calculations to be audited. For further guidance see Appendix B
Intellectual Property (IP)	Refers to creations of the mind. It could include a brand, logo, invention, design or artistic work, or new plant variety.

Term	Definition
Lead Entrepreneur	The person referred to in section 2.5 of these Guidelines.
Lead Organisation	The organisation referred to in section 2.4 of these Guidelines.
Minister for Education or the Minister	The Minister, responsible for the administration of the HESA.
Named participants	The persons described in section 2.4 of these Guidelines.
National Reconstruction Fund (NRF)	National Reconstruction Fund The NRF will provide finance for projects that diversify and transform Australia's industry and economy and target its funding at government identified priority areas that leverage Australia's natural and competitive strengths.
On-costs	Includes workers' compensation insurance, employer contributions to superannuation, recreation and sick leave, long service leave accrual and payroll tax.
OGGRs	The *Other Grants Guidelines (Research) 2017*, an instrument made by the Minister under section 238-10 of HESA.
Participants	All named participants on an application as described in section 2.5 of these Guidelines, and all unnamed participants such as postdoctoral research associates and postgraduate researchers working on a project.
Partner Organisation	The organisation referred to in section 2.3 in these Guidelines.
PhD student	A student undertaking a PhD as defined in the OGGRs.
Priority Manager	A person: • engaged by the Secretary of the department for the purposes of section 42-75 of HESA, or • otherwise engaged by the department not for the purposes of section 42-75 of HESA who

Term	Definition
	performs a role similar to that of Priority Manager engaged under section 42-75. Priority Managers provide technical and specialist research commercialisation advisory services, including brokering research/industry partnerships and assisting with the assessment of AEA grant applications.
Project	A project described in an application for grant funding under AEA.
Program Delegate	The person who has been delegated the power to make AEA Innovate grants under part 2-3 of HESA by the Minister.
Program Manager	The person/s within the department responsible for the day to day running of AEA.
Research	Has the same meaning as in the OGGRs.
Selection criteria	The criteria described in section 4 of these Guidelines.
Selection process	The method used to select successful Lead Organisations as described in section 6 of these Guidelines.
Technology Readiness Level (TRL)	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 (TRL 1) to actual readiness for commercial uses (TRL 9). There are various TRL rating scales that may be applicable to various technologies. For the purposes of this program, the department uses the Department of Defence TRL scale. Further TRL information is available at Appendix A.
UniPay	The department's online application, through which AEA Innovate grants are paid that tracks and controls funding decisions and processes to calculate payment

Term	Definition
	amounts according to an annual schedule of payments.
Value with money	Value with money in this document refers to 'value with relevant money' which is a judgement based on the grant application representing an efficient, effective, economical and ethical use of public resources and determined from a variety of considerations. When considering applications, an official should consider the relevant financial and non-financial costs and benefits of each application including, but not limited to: • the quality of the application and proposed activities • fitness for purpose of the application in contributing to AEA objectives • that the absence of a grant is likely to prevent the successful Lead Organisation's and government's outcomes being achieved, and • the potential successful Lead Organisation's relevant experience and performance history.

Appendix A. Technology Readiness Levels

Explanatory note:

For the purposes of AEA Innovate, the department refers to the TRL using the Defence Technology Group of Australia's Department of Defence terminology, which has been extracted in the tables below.

The descriptions below may not readily correlate to all government identified priority areas. Lead Organisations may find the more sector-specific descriptions in the following link to be more applicable:

EDP-TRL-Table_July_2016.xlsx (live.com) (Courtesy Science and Industry Endowment Fund [SIEF]).

Technology Readiness Level Definition

TRL 1	**Basic Research:** Initial scientific research has been conducted. Principles are qualitatively postulated and observed. Focus is on new discovery rather than applications.
TRL 2	**Applied Research:** Initial practical applications are identified. Potential of material or process to solve a problem, satisfy a need, or find application is confirmed.
TRL 3	**Critical Function or Proof-of-Concept Established:** Applied research advances and early-stage development begins. Studies and laboratory measurements validate analytical predictions of separate elements of the technology.
TRL 4	**Lab Testing/Validation of Alpha Prototype Component /Process:** Design, development and lab testing of components/processes. Results provide evidence that performance targets may be attainable based on projected or modelled systems.
TRL 5	**Laboratory Testing of Integrated/Semi-Integrated System:** System Component and/or process validation is achieved in a relevant environment.
TRL 6	**Prototype System Verified:** System/process prototype demonstration in an operational environment (beta prototype system level).
TRL 7	**Integrated Pilot System Demonstrated:** System/process prototype demonstration in an operational environment (integrated pilot system level).
TRL 8	**System Incorporated in Commercial Design:** Actual system/process completed and qualified through test and demonstration (pre-commercial demonstration).
TRL 9	**System Proven and Ready for Full Commercial Deployment:** Actual system proven through successful operations in operating environment, and ready for full commercial deployment.

Expanded TRL Descriptions

TRL 1 Definition [NOT ELIGIBLE]	TRL 1 Description
Basic Research. Initial scientific research begins. Examples include studies on basic material properties. Principles are qualitatively postulated and observed	Basic principles are observed. Focus is on fundamental understanding of a material or process.
TRL 2 Definition [NOT ELIGIBLE]	**TRL 2 Description**
Applied Research. Initial practical applications are identified. Potential of material or process to satisfy a technology need is confirmed.	Once basic principles are observed, practical applications can be identified. 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 basic 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 3 Definition [NOT ELIGIBLE]	**TRL 3 Description**
Critical Function, i.e., Proof-of-Concept Established. Applied research continues and early-stage development begins. Includes studies and initial laboratory measurements to validate analytical predictions of separate elements of the technology. Examples include research on materials, components, or processes that are not yet integrated.	Analytical studies and laboratory-scale studies are designed to physically validate the predictions of separate elements of the technology. Supporting information includes results of laboratory tests performed to measure parameters of interest and comparison to analytical predictions for critical components. At TRL 3 experimental work is intended to verify that the concept works as expected. Components of the technology are validated, but there is no strong attempt to integrate the components into a complete system. Modelling and simulation may be used to complement physical experiments.

TRL 4 Definition [NOT ELIGIBLE]	TRL 4 Description
Laboratory Testing/Validation of Alpha Prototype Component/Process. Design, development and lab testing of technological components are performed. Results provide evidence that applicable component/process performance targets may be attainable based on projected or modelled systems.	The basic technological components are integrated to establish that the pieces will work together. This is relatively "low fidelity" compared with the eventual system. 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, from development to demonstration. TRL 4 is the first step in determining whether the individual components will work together as a system. The goal of TRL 4 should be the narrowing of possible options in the complete system.
TRL 5 Definition	**TRL 5 Description**
Laboratory Testing of Integrated/Semi-Integrated System. Component and/or process validation in relevant environment- (Beta prototype component level).	The basic technological components are integrated so that the system configuration is similar to (matches) the final application in almost all respects. 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. Scientific risk should be retired at the end of TRL 5. Results presented should be statistically relevant.
TRL 6 Definition	**TRL 6 Description**
Prototype System Verified. System/process prototype demonstration in an operational environment- (Beta prototype system level).	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 fabrication of the device on an engineering pilot line. 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 final system. The engineering pilot scale demonstration should be capable of performing all the functions that will be required of a full manufacturing system. The operating environment for the testing should closely represent the actual operating environment. Refinement of the cost model is expected at this stage based on new learning from the pilot line. The goal while in TRL 6 is to reduce engineering risk. Results presented should be statistically relevant.
TRL 7 Definition	**TRL 7 Description**
Integrated Pilot System Demonstrated. System/process prototype demonstration in an operational environment (integrated pilot system level).	This represents a major step up from TRL 6, requiring demonstration of an actual system prototype in a relevant environment. Final design is virtually complete. The goal of this stage is to retire engineering and manufacturing risk. To credibly achieve this goal and exit TRL 7, scale is required as many significant engineering and manufacturing issues can surface during the transition between TRL 6 and 7.
TRL 8 Definition [NOT ELIGIBLE]	**TRL 8 Description**
System Incorporated in Commercial Design. Actual system/process completed and qualified through test and demonstration- (pre-commercial 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 full scale volume manufacturing of commercial end product. True manufacturing costs will be determined and deltas to models will need to be highlighted and plans developed to address them. Product performance delta to plan needs to be highlighted and plans to close the gap will need to be developed.
TRL 9 Definition [NOT ELIGIBLE]	**TRL 9 Description**
System Proven and Ready for Full Commercial Deployment. Actual system proven through successful operations in operating environment, and ready for full commercial deployment.	The technology is in its final form and operated under the full range of operating conditions. Examples include steady state 24/7 manufacturing meeting cost, yield, and output targets. Emphasis shifts toward statistical process control.

Appendix B. In-kind contributions

The department treats cash and in-kind contributions equally for determining the Lead Organisation's matching 50 per cent (or more) share of total eligible grant project value. In-kind contributions are the non-cash contributions. These can include labour contributions and facilities, equipment and services provided by project partners to the project. In order for in-kind contributions to count towards the Lead Organisation's total eligible project value, the contribution must directly relate to eligible activities or eligible special purpose activities.

In-kind contributions may include:

- salaries and on-costs for Australian personnel directly employed for the project activities. Australian Government funds awarded (or contracted) to researchers employed by partners, or to the partners themselves, for specific projects cannot be claimed as in-kind contributions. The Lead Organisation must use the labour calculations outlined in Section 3.1.

- facilities, equipment and services provided by a partner to the project from the Lead Organisation's own resources. The department does not prescribe a specific formula to determine the value of these contributions. Lead Organisations need to determine the value of these contributions. They must be realistic, justifiable and valued proportionally to their use on the project. For example, the Lead Organisation should calculate the in-kind contribution of a capital item by the running costs and the depreciation of the item.

Examples of in-kind contributions include:

- if a resource has an annual depreciation value of $100,000 and the project was using 10 per cent of the resource's capacity then the resource could be valued at $10,000 per year

- if the fee for usage was $500 per use and the project was receiving 100 usages per year at no cost, the value of the resource could be valued at $50,000 per year

- if the Lead Organisation's project receives office space as an in-kind contribution from a partner, they should value the contribution at the amount it would otherwise cost to rent equivalent office space.

Appendix C. Sample AEA Innovate Partner Organisation Declaration

To whom it may concern

I am writing on behalf of *[Partner Organisation]* to provide our support for the funding application: *[AEA Innovate Application Number] [AEA Innovate Application title]*.

[Please use up to 2 pages to provide the details of:

- *the Partner Organisation*

- *an overview of how the Partner Organisation will work with the other participating organisation/s to successfully complete the project*

- *an outline of the relevant experience and/or expertise the Partner Organisation will bring to the project]*

Total partner contributions over the Project funding term are listed below and are consistent with the total contributions listed in the application:

Contribution Type	Amount
Cash ($AUD) for grant period	$
FTE (to 2 decimal points) for funding term (in-kind)	
FTE ($AUD) for funding term (in-kind)	$
Non-staff in-kind ($AUD) for funding term	$

Note: a Business Partner Organisation may elect to participate in an Innovate project for less than the full project duration.

Declaration

On behalf of *[insert Partner Organisation]* I declare that, should this application be successful, the Partner Organisation:

- Is aware of the requirements related to Partner Organisations under the AEA Innovate 2023 Program Administrative Guidelines.
- Will support and actively participate in the proposed AEA Innovate project.
- Will contribute the staff, funds and other resources indicated in the application and has obtained, or will obtain, the necessary authorisations to do so.

- Confirms that cash contributions are not sourced from Commonwealth Government funds for the purposes of research, including the Research and Development Tax Incentive (R&D Tax Incentive or R&DTI).
- Will comply with and require that its subcontractors and independent contractors comply with, all applicable laws.
- Information contained in this application, together with any statement provided, is to the best of my knowledge, true, accurate and complete. I also understand that the giving of false or misleading information is a serious offence.
- Acknowledges that if the department is satisfied that any statement made in an application is incorrect, incomplete, false, or misleading, the department may, at its absolute discretion, take appropriate action.
- Understands that they may be requested to provide further clarification or documentation to verify the information supplied in this form and that the department may, during the application process, consult with other government agencies, including State and Territory government agencies, about the Lead Organisation's claims and may also engage external technical or financial advisers to advise on information provided in this form and the application.
- Provides consent to be contacted by the department to discuss the particulars of the partner's commitment to the proposed Innovate project.
- Approves of the information in this form being communicated to the department in electronic form.

Signing

By signing below, I agree that I am authorised to sign and submit this declaration on behalf of the Partner Organisation and confirm all the above statements to be true.

Partner (organisation name):	
Partner ABN/ACN:	
Authorised representative (name):	
Position/role:	
Phone:	
Email:	
Signature:	
Date:	