|  |
| --- |
| This application form example is intended to give you visibility of what’s required for a New to R&D Grant application. It is important that you read our Guidance for the full details about the New to R&D Grant product. **When you are ready to apply, log into the online portal (Forge), copy and paste the information into the relevant sections – please do not submit or upload this form.** |

|  |
| --- |
| **GRANT OVERVIEW** |
| **Purpose of the New to R&D Grant**New to R&D Grants are intended to provide support to businesses that are new to R&D, to build capabilities to perform R&D on a systematic basis over the longer term.We recommend that you read the following documents:* The [Ministerial Direction](https://gazette.govt.nz/notice/id/2022-go3476) sets out the rules for the New to R&D Grant
* [Example of the Funding Agreement](https://www.callaghaninnovation.govt.nz/sites/all/files/New_to_RnD_Grant_Funding_Agreement51222.pdf)
* [Guidelines for Eligible Costs for New to R&D Grants](https://www.callaghaninnovation.govt.nz/sites/all/files/Eligible_Costs_for_N2RnD_Grant_Guidelines.pdf)
 |
| **Acknowledgement** |
|  I have read and understood the Grant overview |

|  |
| --- |
| **APPLICATION DETAILS** |
| **Organisation summary****Organisation** | **Product** |
| [Read-only field – Pre-populated] | New to R&D Grant (150) |
| **Physical address** | **Postal address** |
| [Read-only field – Pre-populated] | [Read-only field – Pre-populated] |
| **NZBN** |  |
| [Read-only field – Pre-populated] |  |

|  |
| --- |
| The contracting organisation (Applicant entity) is responsible for signing the funding agreement, invoicing for funding (as applicable to the grant product) and adhering to the obligations under the Funding Agreement. Ensure you have read and understand the terms and conditions before completing this application. Check that the contracting organisation listed above is correct, it can cause processing delays if applications are received under the wrong entity. Email fcmoperations@callaghaninnovation.govt.nz to advise of any changes. |
| **Application title****Provide a brief title** |  |
| [Enter text here] |
| Maximum of 128 characters Use a brief title to describe your R&D that is not commercially sensitive. If your application is approved,  application title, organisation name, funding type and value will become public information. |
| **Total project cost****GST excl. amount** |  |
| [Enter amount here **]** | **$ GST amount****[Pre-populated - Calc]** | **$ GST inclusive****[Pre-populated - Calc]** |
|  Enter your eligible costs (excl. GST) as calculated in the Cost Template. |
| **Proposed dates** |  |
| **Start date** |  | **End date** |
| [Enter date here] | [Enter date here] |
|  The proposed start and end dates will be confirmed at time of contracting should your application be successful. They may differ from the dates recorded here, depending upon the approval date. Costs incurred prior to the start date and after the end date will not be claimable. |
| **ANZSIC detail****Provide ANZSIC** |  |
| [Enter text here] |

 ANZSIC is the Australian and New Zealand Standard Classification of Industries. These codes are published on the Stats NZ website. Select ‘Industry - ANZSIC06V1.0’ in the classification code finder.

|  |
| --- |
| **KEY CONTACT** |
| The contact person is the person in your business we can discuss the grant application with and who we will send all grant and contract related information to.  |
|  You must have at least one contact person. |
| **First name** | **Last name** |
| [Enter text] | [Enter text] |
| **Email address** | **Organisation** |
| [Enter text] | [Enter text] |
| **Role in organisation** | **Phone number** |
| [Enter text] | [Enter text] |
| **Role in project** |
| [Contact person] |

|  |
| --- |
| **BANK ACCOUNT** |

|  |
| --- |
| **Provide your business’s bank account information in the table below. The bank account must be in the name of the applicant (same as the *contracting organisation*)** |

|  |  |
| --- | --- |
| **Account name** |  |
| [Enter text] |
| **Bank** | **Branch** | **Account** | **Suffix** |
| [Enter text] | [Enter text] | [Enter text] | [Enter text] |
| **Email for remittance** |  |
| [Enter text] |

**Bank Account evidence**

Provide verification of the bank account information you have entered above, such as a screenshot from online banking. This must clearly show the bank account name and number.

|  |
| --- |
| [Upload bank account evidence] |

|  |
| --- |
| **BACKGROUND AND COMPLIANCE** |
| **Tell us about your business, including your core products, services and markets, or recent activity if you are a new business.** |
| [Enter text here] |
|  Maximum 250 words, bullets points preferred |
| **Are you aware of any issues (past, current or potential) relating to your business, its owners and directors (or equivalent), or your products and services that could bring the reputation of the Government, Callaghan Innovation or its R&D Grants Programme into disrepute?** Yes No |
|   This should include any actual or pending legal action against your business, major shareholders, or directors. Callaghan Innovation must be satisfied that providing an R&D grant to the business would not bring the reputation of Callaghan Innovation, the Government, or the R&D grants programme into disrepute.**If yes, outline the issues:**Please keep it brief, bullet points preferred. Your Funding Engagement Specialist will discuss these issues with you. |
| [Enter text here] |
| **Acknowledgement** |
|  **Confirm that the business which is applying is the business that is undertaking the R&D** |



 Callaghan Innovation can only contract and pay the business that is undertaking the R&D.

|  |
| --- |
| **Does your research involve using indigenous flora and fauna?** Yes No |
|   As a Crown Agency we are committed to upholding the Treaty of Waitangi partnership. It is recommended that engagement is made with Māori to discuss any commercialisation or other issues, related with using indigenous flora and fauna.If you need support to engage with Māori, please contact your Funding Engagement Specialist, to connect you with our Māori Economy Team.**If yes, tell us about your engagement with local Iwi:** |
| [Enter text here] |
|   Maximum 250 words, bullet points preferred. |

|  |
| --- |
| **ELIGIBILITY** |

|  |
| --- |
| Clipboard outline For the purposes of completing the Eligibility section, please note that the word “Group” refers to a corporate group where this business is part of a group of businesses OR is under the control of common shareholder/s (e.g. parent/subsidiary companies, sister companies) |
| **Confirm that your business is an eligible business entity:** A Company incorporated and registered in New Zealand under the Companies Act 1993  A Limited Partnership registered under the Limited Partnerships Act 2008. A Māori Incorporation or a Trust established under Te Ture Whenua Māori Act 1993 or a similar organisation managing Māori assets under multiple ownership. |
|  Only businesses that are operating and incorporated in New Zealand are eligible to receive the New to R&D Grant. Please see the [guidance](https://www.callaghaninnovation.govt.nz/products/fund/new-to-r-and-d-grant/) on our website for more information about eligibility. *To be eligible for the New to R&D Grant, businesses must be one of the entities listed above.* |
| **Confirm that you are not an entity that is:**50% or more owned or controlled by one or more of the entries listed in the bullet points below:Government shareholding may affect your eligibility. Please see the [Ministerial Direction](http://gazette.govt.nz/notice/id/2022-go3476) for more information about eligibility.* Local authority and Local Regional Promotions bodies
* Government department or agency
* State Owned Enterprise
* Public Finance Act 1989 Schedule 4A Company
* Crown Entity
* Crown Research Institute (CRI)
* Tertiary Education Organisation (TEO) including foreign-owned TEO
* Entities controlled by any of the above (control means 50% or more ownership)
* Sole traders
* Charitable Trust
* Partnership
* Joint Venture
* Look through company, or
* a company that was incorporated in another country but is registered to do business in New Zealand (registered under the Overseas Register – ASIC or NON-ASIC – not incorporated under the New Zealand Companies Act 1993)

**We confirm that we are NOT an ineligible entity type** |

|  |
| --- |
| **Acknowledgement** |
| Confirm your business is new to R&D and has not spent more than $150k in total on R&D over the last three years prior to the submission date of application |
| Confirm your business has not received R&D funding (any grant or loan) from Callaghan Innovation or any other government agency greater than $5,000 within the last three years prior to the submission date of application |
| Confirm your business is not associated with another business whose R&D capability it can draw upon. Refer to the [Grouping guidance](https://www.callaghaninnovation.govt.nz/sites/all/files/Grouping-Guidance.pdf) for further guidance on what we mean by being ‘associated with another business’. Please talk to your Funding Engagement Specialist if you have any questions on this requirement |
| Confirm that your business intends to conduct R&D in the future   New to R&D Grants are intended to provide support to businesses that are new to R&D, to build capabilities to perform R&D on a systematic basis over the longer term. This grant is not to fund one off R&D projects.. |
|  Declare your business is solvent and can pay its debts as they fall due |
|  Confirm your business (or “Group”) has the financial resources to fund the business’s 60% share of the total eligible costs as well as the other business expenses forecast for the duration of the New to R&D Grant: In confirming this point, you must be confident that the business (or group) has the financial capacity to support its normal business running costs and provide the difference between the grant funding and the R&D and Capability Development costs. |

|  |
| --- |
| **FINANCIAL INFORMATION** |
|  Enter information for the last three financial years, including total R&D spend and staffing levels (NZ$ excl. GST) from your recent financial statements.This is standard information we require from all R&D grant applicants so that we can understand the scale of R&D in your business and the impact our grant funding has on businesses. If your business has been operating for less than three years, enter the information for each financial year since your business started operating.Do not delete or overwrite any prior year data. Please ADD a new line for each relevant year as required.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Financial Year End** | **Total revenue:** | **Earnings before Interest and Taxation (EBIT):** | **Net profit before taxation:** | **Exports revenue:** | **Total R&D spend:** | **Total staff (FTE):** | **R&D staff (FTE):** |
| Enter date here | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value |
| Enter date here | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value |
| Enter date here | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value | Enter value |

 |
|  |

|  |
| --- |
| **The table above requires three years of information to be entered, if you are unable to provide all of this information, provide comment below:** |
| [Enter text here] |

|  |
| --- |
| **Provide evidence that your business can fund its share of the total costs.**Upload the following documents:* Cashflow Forecast (for the next 12-month period) including assumptions for revenue lines.
* Bank Statement to confirm the opening balance of the Cashflow Forecast
* Latest year-to-date Balance Sheet
* Latest year-to-date Profit and Loss Statement

If you do not already have an Excel version of your cashflow forecast, complete the following template.Cashflow Forecast Template*(This template is only available after you have created your application within the online portal* |
| [Upload documents] |

|  |
| --- |
| **R&D CAPABILITY DEVELOPMENT** |
| Clipboard outline The main purpose of this grant is to assist businesses that are new to R&D, to build their R&D capability and become established R&D performers. This grant is not for one-off R&D projects. |
| **Provide a high-level overview of your future R&D plans beyond the R&D within this application. Your activities must be more than improvements to the R&D covered under this application.** |
| [Enter text here] |
|   Maximum 250 words, bullet points preferred. |
| **Select a minimum of two eligible R&D Capability Development areas from the six below that could improve your ability to perform R&D over the longer term.** [Intellectual Property Capability](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_2_-_Intellectual_Property.pdf) [Regulatory & Compliance Capability](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_3_-_Regulatory_and_Compliance_Final.pdf) [Project Management Capability](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_5_-_Project_Management_Final.pdf) [Lean R&D Best Practice](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_4_-_Lean_RandD_Final.pdf) [R&D Information Management Capability](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_6_-_RandD_Information_Management_Final.pdf) [Customer Input into R&D](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP-1-Customer-Input.pdf)Additionally, you’ll have the opportunity to take part in an introductory session with our R&D Tax Incentive Engagement team. An introductory session with the RDTI Engagement team will help you understand all the eligibility criteria, ensure you’re collecting the right information throughout the year and lend a guiding hand as you progress towards filling your application. Confirm if you intend to undertake the Capability Development activityfor the [R&D Tax Incentive](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_7_-_RandD_Tax_Incentive_Final.pdf) scheme |
| **Tell us how you will use this funding to increase your own or your company’s R&D knowledge and skills, to help you improve your capability to undertake R&D in the future.** |
| [Enter text here] |

 Maximum 250 words, bullet points preferred

|  |
| --- |
| **R&D ACTIVITY** |
| Clipboard outline Refer to the [guidance](https://www.callaghaninnovation.govt.nz/products/fund/new-to-r-and-d-grant/) to assist with answering the following questions. |
| **Describe your planned R&D activities.** |
| [Enter text here] |

 Maximum 250 words, bullet points preferred

|  |
| --- |
| **Uncertainty test** |
| Clipboard outline For the **Uncertainty Test** it is helpful if you think of scientific or technological uncertainty as the problem or challenge (of a scientific/technological nature) that you are trying to overcome. |
| **Uncertainty: What is the specific scientific or technological uncertainty that you face?** |
| [Enter text here] |
| We want to know what the problem is that you are trying to solve. Specifically, what is it in your problem that is causing you to undertake your R&D? What is the hard part? What are you trying to achieve that you haven't been able to achieve before? Maximum of 250 words, bullet points preferred |
| **R&D Challenge: Why is your scientific or technological challenge difficult to achieve for a professional?** |
| [Enter text here] |
| We want to understand why your problem is challenging. Why is the specific scientific or technological uncertainty that you are seeking to resolve not deducible? Why will you need to undertake an investigation or run experiments to resolve it? Maximum of 250 words, bullet points preferred |
| **Knowledge Availability: What other solutions are you aware of that achieve a similar outcome to that which you are seeking to resolve and are those solutions, either inside or outside your industry, available to you? If it is not available to you, explain why not** |
| [Enter text here] |
| We want to understand whether the specific scientific or technological uncertainty that you are seeking to  resolve has already been fully or partly resolved and whether that knowledge is publicly available. Describe  your understanding of others' work in this field and if the knowledge is not publicly available, explain why that is the case. Maximum of 250 words, bullet points preferred |
| **Newness test** |
| Clipboard outline For the **Newness** test it is important to focus on demonstrating that the purpose of the R&D activity is to create new knowledge or new or improved processes, services or goods. |
| **What is New?** **What new knowledge or new or improved processes, services or goods are you seeking to generate from your R&D?** |
| [Enter text here] |
| The Newness Test is about identifying what is new about the proposed solution to your scientific/ technological uncertainty. We recognise the present activity may be the first step towards this goal. Maximum of 250 words, bullet points preferred |
| **Why is it Better?** **Why is your new knowledge or new or improved processes, services, or goods an improvement on what is currently available?** |
| [Enter text here] |
| We want to know why your new knowledge, or new or improved processes, services or goods are better than the pre-existing knowledge or processes, services, or goods. Describe why it is better and why that is important to your customers and your business Maximum of 250 words, bullet points preferred |

|  |
| --- |
| **COSTS AND PLAN** |
| **Cost template** |
| **Prepare your costs using the template below.**For information on eligible costs refer to the [Eligible Costs for New to R&D Grants](https://www.callaghaninnovation.govt.nz/sites/all/files/Eligible_Costs_for_N2RnD_Grant_Guidelines.pdf) document on the Callaghan Innovation website.*NOTE:* * *You may be asked for quotes as evidence to support substantial individual costs*
* *Your capability development activities should comprise no less than 5% of the total grant funding*

New to R&D Cost Template*(This template is only available after you have created your application within the online portal* |
| [Upload your Cost Template in Excel format] |
| **Are you proposing to use overseas labour resources?** Yes No**If yes, provide technical and cost details. Explain how you know this expertise is not available in New Zealand and how these knowledge/skills will be transferred to your business.** |
| [Enter text here] |
| Please note that any R&D undertaken outside of New Zealand is not eligible for co-funding, except in limited cases where Callaghan Innovation expressly permits it Maximum of 250 words, bullet points preferred |
| **R&D and Capability development plan** |
| **Prepare a high-level R&D plan to include both your R&D objectives and your Capability Development activities.**Limit your Objectives to a maximum of four for R&D and include a minimum of two for Capability Development.The eligible costs for these Objectives will be included in the Objective Costing tab of the Cost Template in Section 5.1 and **must be labelled with the same Objective Title**Each Objective must include:* An Objective Title
* Start and End Date
* Deliverable (a brief description of the desired outcome you aim to achieve by successfully completing the Objective)

*NOTE: specifically for Capability Development activities - include how conducting this activity will allow you to transfer/gain knowledge for yourself and your team, to meet the intent of building capability within your business.*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Objective**  | **Short Title** | **Start Date** | **End Date** | **Deliverable** |
| 1 | Enter text | Enter date | Enter date | Enter text |
| 2 | Enter text | Enter date | Enter date | Enter text |
| 3 | Enter text | Enter date | Enter date | Enter text |
| 4 | Enter text | Enter date | Enter date | Enter text |
| 5 | Capability Development: [Enter Title] | Enter date | Enter date | Enter text |
| 6 | Capability Development: [Enter Title] | Enter date | Enter date | Enter text |

 |

|  |
| --- |
|  **DECLARATION** |
| **This section is to provide you with the opportunity to read the declaration that you must agree to, upon submission of your Application.**You agree that by submitting this application to Callaghan Innovation, you declare and acknowledge the following:* I am authorised to submit the application on behalf of the applicant.
* The applicant is a legal entity capable of entering into a contract with Callaghan Innovation and adhering to all obligations as set out in the Funding Agreement.
* The information in the application is true and correct.
* Information received and generated by Callaghan Innovation in relation to this application may be released by Callaghan Innovation in accordance with Callaghan Innovation’s external reporting requirements or if required by law, including in accordance with the requirements of the Official Information Act 1982 (OIA) or the Privacy Act 2020 (PA). Any release under OIA or PA of confidential or sensitive information will be discussed with you first.
* Consent to the disclosure of this application and all information relating to this application, to New Zealand Trade and Enterprises, Ministry of Business, Innovation and Employment, Callaghan Innovation, Inland Revenue, StatsNZ and other government departments or agencies for the purpose of achieving wider government policy objectives.

 Accept Reject |
|  |