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| 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 (IMS), copy and paste the information into the relevant sections – please do not submit or upload this form.** |

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| **SECTION 1: APPLICANT INFORMATION** |
| 1.1 Application Summary |
| **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)
 |
| **Investment area:** | ***New to R&D Grant v2*** |
| **Contracting** **organisation:** | The contracting organisation (‘business’) is legally responsible for signing the New to R&D Grant Funding Agreement, should this application be successful. Please check the information before completing an application, as it can cause processing delays if applications are received under the wrong business name.  |
|  | **[Read-only field – Pre-populated]** |
| **Postal and Courier addresses:** | **[Read-only field – Pre-populated]** |
| **New Zealand Business Number:** | *NZBNs are unique identifiers allocated to NZ businesses to make it easier for business to interact with government and with each other. Each NZBN is a 13-digit Global Location Number (GLN) provided by GS1 New Zealand.* |
|  | **[Read-only field – Pre-populated]** |
| **Total costs:**  | Enter your eligible costs (excl. GST) as calculated in the Cost Template (Section 5.1) |
|  | **$ GST exclusive****Enter amount here**  | **$ GST amount****[Pre-populated - Calc]** | **$ GST inclusive****[Pre-populated - Calc]** |
| **R&D title:**  | Use a brief title to describe your R&D that is not commercially sensitive. **If your Application is approved, application title, project title, business name, funding type and value will become public information.** |
|  | **Enter text here** |

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| **Proposed Start and End Dates:** | Enter the proposed start and end dates for the R&D you intend to undertake and conduct your Capability Development activities, noting that the end date can’t be more than 24 months after the start date**.** The 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 be not claimable. |
|  | **Start Date****Enter date here**  | **End Date****Enter date here** |

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| **Provide ANZSIC Industry Code that best matches your business: \***ANZSIC is the Australian and New Zealand Standard Classification of Industries. These codes are published on the [StatsNZ website](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS5587). Select ‘Industry - ANZSIC06V1.0’ in the classification code finder. |
| **Enter text here** |

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| 1.2 Key Contacts |
| **Provide details for the contact person.**The contact person is the person in your business we can discuss the New to R&D grant application with and who we will send all grant and contract related information to. *Information required: Name, company email address and phone number.* |
| **Name, company email address and phone number** |

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| 1.3 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*. as noted in section 1.1)**

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| **Bank account name** | **Account** | **Email address** | **Pay to account** | **Bank account name** |
| Enter text here |  |  |  |  |

 **Provide verification of the bank account information you have entered above:**This may be a scanned bank statement or screenshot from online banking. Check that the bank account name and detail can be clearly seen on the documentation provided. Once you have selected your file to upload, click on SAVE (at the bottom of the screen), which will upload the document. |

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| **Upload document** |

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| 1.4 Business Background |
| **a) Tell us about your business, including your core products, services and markets, or recent activity if you are a new business.**Watch our help video [here.](https://vimeo.com/804976111/1dabf3ea42)Maximum 250 words, bullet points preferred. |

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| **Enter text here** |

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| **b) You 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. Confirmed |

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| 1.5 Additional Information |

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| **a) 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?**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. Yes No**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** |
| **b) Does your research involve using indigenous flora and fauna?**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. Yes No**If yes, tell us about your engagement with local Iwi:**Maximum 250 words, bullet points preferred. |
| **Enter text here** |

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| **SECTION 2: ELIGIBILITY DECLARATION & FINANCIAL INFORMATION** |

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| 2.1 Eligibility |
| 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) |
| **1) You confirm that your business is an eligible business entity:**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/funding/new-rd-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, select one box from the list below: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. |
| **2) You confirm that you are not an entity that is 50% or more owned or controlled by one or more of the entities 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
* Government department or agency
* State Owned Enterprise
* Schedule 4A Company
* Local and regional promotional body
* Crown Entity
* Crown Research Institute (CRI)
* Tertiary Education Organisation (TEO) including foreign-owned TEO; 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 |
| **3) You confirm your business is new to R&D and has not spent more than $50k in total R&D over the last three\* years?**\*3 years prior to the date of submission of this applicationConfirmed |
| **4) You 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.**\*3 years prior to the date of submission of this applicationConfirmed |
| **5) You 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. Confirmed |
| **6) You 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.. Confirmed |
| **7) You declare your business is solvent and can pay its debts as they fall due:** Confirmed |
| **8) You 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. Confirmed |

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| 2.2 Financial Information (+ uploads) |
| 1. **Enter information for the last three financial years, including total R&D spend and staffing levels (NZ$ excl. GST**).

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. **Please update these figures using information from your most recent financial statements.**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.**

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| **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 |

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| **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** |

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| **b) 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 (IMS)* |
| **Enter text here** |

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| **SECTION 3: R&D CAPABILITY** |
| 3.1 Long Term R&D Intentions |
| 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. |
| 1. **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.**

Watch our help video [here](https://vimeo.com/804972009/ce91c19814).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |

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|  R&D Capability Development |
| 1. **Select a minimum of 2 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.Read more about the R&D Tax Incentive [here](https://www.callaghaninnovation.govt.nz/sites/all/files/CDP_7_-_RandD_Tax_Incentive_Final.pdf)**Tick here if you intend to undertake this activity.** |
| 1. **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.**
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| **Enter text here** |

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| **SECTION 4: RESEARCH & DEVELOPMENT (R&D)** |
| 4.1 R&D Activity |

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| **a) Describe your planned R&D activities.**Watch our help video [here](https://vimeo.com/804976091/925f837645).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |

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| 4.2 R&D Eligibility |
| Refer to the [guidance](https://www.callaghaninnovation.govt.nz/sites/all/files/RandD_Eligibility_Matrix.pdf) to assist with answering the following questions.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.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. |

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| **a) Uncertainty Test: Uncertainty**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?**WHAT is the specific scientific or technological uncertainty that you face?**Watch our help video [here](https://vimeo.com/804971986/c81a26435d).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |

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| **b) Uncertainty Test: R&D Challenge**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?**WHY is your scientific or technological challenge difficult to achieve for a professional?**Watch our help video [here](https://vimeo.com/804972068/6ec3ebccc7).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |
| **c) Uncertainty Test: Knowledge Availability**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.**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**.Watch our help video [here](https://vimeo.com/804972097/fb545a6f69).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |
| **d) Newness Test: What is New?** 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.**What new knowledge or new or improved processes, services or goods are you seeking to generate from your R&D?**Watch our help video [here](https://vimeo.com/804972165/d109d36dc9).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |

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| **e) Newness Test: Why is it Better?** 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.**Why is your new knowledge or new or improved processes, services, or goods an improvement on what is currently available?**Watch our help video [here](https://vimeo.com/804972134/71b374109c).Maximum of 250 words, bullet points preferred. |
| **Enter text here** |

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| **SECTION 5: COSTS AND PLAN** |

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| 5.1 Costs |
| 1. **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*New to R&D Cost Template*(This template is only available after you have created your application within the online portal (IMS)* |

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| **Upload your Cost Template in Excel format** |

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| **b) 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.**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 250 words, bullet points preferred. |
| **Enter text here** |

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| 5.2 R&D & Capability Development Plan |

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| **Prepare a high-level plan to include both your R&D objectives and your Capability Development activities.**Limit your Objectives to a maximum of 4 for R&D and include a minimum of 2 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 (note: make sure that you identify the Capability Development activities)
* Start and End Date
* Deliverable (a brief description of the desired outcome you aim to achieve by successfully completing the Objective)
	+ 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.

Watch our help video [here](https://vimeo.com/804971964/64c0249075).

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| **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 |

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|  **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:* You are 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 1993 (PA). Any release under OIA or PA of confidential or sensitive information will be discussed with you first.
* You 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.

**To submit your application, click the 'Submit to IMS' button in the 'Print and submit' section.****Note:  The application must be submitted by your business’s ‘super user’**(If you do not hold this role, you will not see the “Submit to IMS” button) |
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