

# 1. R&D Fund Preliminary Application Form Preview

## Covid-19 R&D Product Fund Preliminary Application

The R&D Fund supports small and medium enterprises (SMEs) and scaleups to commercialise products that address the health, social or economic impacts of the COVID-19 pandemic.

It is a \$6 million single-round competitive scheme administered by Investment NSW.

The objective of the R&D Fund is to stimulate the development and commercialisation of innovative products that benefit the people of NSW.

The R&D Fund targets products within Technology Readiness Level (TRL) 4-9 to help them move along the TRL scale, enable them to attract large-scale private investment, or expand into global markets.

### **To be eligible, a business must have:**

- An ABN registered in NSW and be based in NSW
- Been operating for at least 12 months
- Ownership that is at least 75 per cent Australian and is not more than 50 per cent owned by another business
- At least \$1 million in sales revenue or operating expenditure within the last 12 months or previous financial year
- A product that directly addresses the impact of COVID-19 that it can demonstrate capability and capacity to bring to market within 24 months
- A product that falls within TRL 4-9 on the Technology Readiness Level
- The intellectual property rights to commercialise the product
- Not already received government funding for the same stage of development of the product.

Eligible businesses must provide an operating profit and loss statement for the last 12 months or previous financial year and brief profiles of key personnel.

This Preliminary Application is an early screening document that allows Investment NSW to determine eligibility and the Investment NSW-lead assessment Subcommittee to review the proposal and assess the quality of the application.

## Organisation Details

\* indicates a required field

### **Organisation Name \***

Organisation Name

### **ABN \***

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The ABN provided will be used to look up the following information. Click Lookup above to check that you have entered the ABN correctly.

Information from the Australian Business Register	
ABN	
Entity name	
ABN status	
Entity type	
Goods & Services Tax (GST)	
DGR Endorsed	
ATO Charity Type	<a href="#">More information</a>
ACNC Registration	
Tax Concessions	
Main business location	

Must be an ABN.

## Organisation Trading Address \*

Address

  

Address Line 1, Suburb/Town, State/Province, Postcode, and Country are required.

## Organisation Website \*

Must be a URL.

## Which industry does your organisation belong to?

## Contact for Application

### Contact Name \*

First Name

Last Name

### Contact Position \*

For example CEO, Grant Coordinator, Operations Manager

### Contact Primary Phone Number \*

Must be an Australian phone number.  
Include area code for land lines

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### Contact Primary Email \*

Must be an email address.

## Eligibility

\* indicates a required field

### Is the business based in NSW? \*

- Yes  No

### Has the business been operating for at least 12 months? \*

- Yes  No

### Is the business at least 75% Australian owned? \*

- Yes  No

### Do you (i.e. the business applying for the grant) own 50% or more of the business? \*

- Yes  No

### Can the business demonstrate at least \$1 million in sales revenue or operating expenditure within the last 12 months or previous financial year? \*

- Yes  No

### Does the business have a product that directly addresses the impact of COVID-19 that it can demonstrate capability and capacity to bring to market within 24 months? \*

- Yes  No

### Does the business have the intellectual property rights to commercialise the product? \*

- Yes  No

### Has the business already received government funding for the same stage of development of the product? \*

- Yes  No

### Does the business's product fall within TRL 4-9 on the Technology Readiness Level? \*

- Yes  
 No

To demonstrate eligibility, businesses must also provide a profit & loss statement and key personnel profiles.

Please upload a copy of the business' profit and loss statement for the last 12 months or previous financial year. \*

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Attach a file:

For the last 12 months or the last financial year

**Select the type of evidence you will provide for the key personnel \***

Upload CV  Provide LinkedIn URL

Select both if applicable

**Upload a CV for each of the key personnel. \***

Attach a file:

Title each file with the key personnel's name

**Provide a LinkedIn URL for each of the key personnel (add additional rows if necessary)**

**Name of key personnel**

**LinkedIn URL**

Name of key personnel	LinkedIn URL
<input type="text"/>	<input type="text"/>

## Project Details

\* indicates a required field

**Project Title \***

**Total Amount Requested \***

Must be a dollar amount.

What is the total financial support you are requesting in this application?

**Proposed Project Location (at what location will the product or service be developed?) \***

Address

  

Address Line 1, Suburb/Town, State/Province, Postcode, and Country are required.

**Provide one sentence to describe your proposed solution \***

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Must be no more than 50 words.

**Provide a brief description of the product you intend to market within 24 months**

Must be no more than 100 words.

**How will this product address the health, social or economic impacts of the COVID-19 pandemic? \***

**Proposed project location (at what location will the product or service be developed?) \***

**Do you have a clear path or strategy to achieve commercialisation? \***

No more than 250 words.

**If successful, how will this grant help progress the commercialisation of the product? \***

No more than 250 words.

**The following three questions are an opportunity for you to provide a brief response to the Impact, Effectiveness and Delivery of your solution according to the Assessment Criteria (refer to [Appendix B - Assessment Criteria](#) and [Appendix C - Scoring Matrix in the Guidelines](#)). If you are selected to proceed to Stage Two and submit a full application form, you will be required to address these criteria in more detail.**

Note: responses can be written in paragraphs or dot points.

**Describe how your solution addresses the IMPACT criteria. \***

Word count:

Must be no more than 250 words.

i.e. What is the problem being addressed, uniqueness of solution, market user and size of opportunity, how will the funding be used to accelerate R&D and commercialisation?

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**Describe how your solution addresses the EFFECTIVENESS criteria. \***

Word count:

Must be no more than 250 words.

I.e. Track record of business, feasibility, viability

**Describe how your solution addresses the DELIVERY criteria. \***

Word count:

Must be no more than 250 words.

I.e. Resourcing, timing and staging, coordination and alignment

## Technology Readiness Level Scale

Indicate the current development stage (from 1-9), and the expected development stage, if you are successful in receiving this grant funding.

For further information on how to complete this scale, please see Appendix A of the Guidelines.

**Note - The R&D Fund targets products with TRL 4-9 to help them move along the TRL scale**

**Technology Readiness Level (now)**

4       5       6       7       8       9

**Technology Readiness Level (project end)**

4       5       6       7       8       9

**Can you demonstrate an existing prototype or proof of concept? \***

Yes       No

**Please provide details. \***

Must be no more than 100 words.

**Please upload any documentation to support this preliminary application (i.e. pitch deck).**

Attach a file:

## Additional Details

\* indicates a required field

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**How many people are currently employed by the business? \***

Must be a number.

**Do you identify as an Aboriginal/Torres Strait Islander-owned business? \***

- Yes
- No
- Prefer not to say

## Application Terms (“Terms”)

\* indicates a required field

### Your application

1. By submitting an application to the Crown in the Right of the State of New South Wales acting through Investment NSW (ABN 78 520 401 237) (Investment NSW) constitutes an acceptance by you of the Terms and you agree to be bound by the Terms.
2. Your Stage One Application Form must be submitted to Investment NSW on or before Monday 6 September 2021, 5:00PM.
3. Applications that are incomplete or do not comply with the instructions provided in the application form are invalid and may not be accepted by Investment NSW.
4. You agree to bear the costs of preparing and submitting your application without recourse to Investment NSW.
5. You confirm that all of the information provided as part of the application is true, correct and valid as at the date of your application.
6. You agree to indemnify Investment NSW against and in respect of all damages, losses, expenses and costs (including legal costs on an indemnity basis) which arise out of or relate to any incorrect or invalid information that you provide to Investment NSW through this application.
7. If you are found to have made false or misleading claims or statements, or to have obtained improper assistance in relation to your application, Investment NSW may exclude your application from the evaluation process. You should be aware that giving false or misleading information to Investment NSW is a serious offence under the Criminal Code Act 1995 (Cth).
8. An application submitted electronically will be treated in accordance with the Electronic Transactions Act 2000 (NSW). Assessment and approval of your application.
9. Investment NSW reserves the right to verify the information provided by you as part of your application and determine your eligibility for funding.
10. Submitting an application does not guarantee approval of funding. Approval of funding is at the sole discretion of the Investment NSW.
11. Nothing in this request for applications or your application will be construed as giving rise to any contractual obligations or rights, express or implied, by the issue of this request for applications or the submission of an application by you (other than your agreement to these Terms).

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12. If your application is successful, the information provided in this application will form part of a funding agreement to be separately agreed and signed with Investment NSW. Until a funding agreement is agreed and signed you are not eligible for any funding.

## **Funding program**

13. Investment NSW reserves the right to alter, amend, suspend, cancel or withdraw the funding program for any reason and in any circumstances in its sole and absolute discretion and without notice to you.

14. Subject to any applicable law, Investment NSW make no representation or warranty of any kind, express or implied, in relation to any information or material provided in the application form or funding guidelines.

15. The information and material provided by Investment NSW as part of the application form and funding guidelines is of a general nature only and is not legal or other professional advice or intended to be comprehensive. You are responsible for determining the validity, quality and relevance of any information or materials and to take appropriate independent advice before acting or relying on any of it to ensure that it meets your particular requirements.

16. Investment NSW does not accept responsibility for any loss or damage, howsoever caused (including through negligence or matters outside its control), which you may directly or indirectly suffer in connection with your use of or reliance on, information or materials contained in the application form or the funding guidelines.

## **Privacy and disclosure**

17. Investment NSW collects the information in your application, which may include "personal information" for the purpose of the Privacy and Personal Information Protection Act 1998 (NSW). Investment NSW collects this personal information for the purpose of considering and assessing your application. If your application is successful, your information will also be used to provide the funding to you, assist you in meeting your obligations and for reporting on the programs to which your funding relates.

18. Providing your personal information to Investment NSW is voluntary, however if you do not provide this information we will not be able to assess your application and you will not be considered for funding.

19. Investment NSW may also disclose your personal information to the following third parties:

- a. Our Community Pty Limited being the application portal provider to help administer the program;
- b. O'Connor Marsden & Associates Pty Limited being the probity advisors to assist with this program;
- c. a representative of an external body to help assess and recommend applications;
- d. a credit assessment agency to help complete due diligence checks, and
- e. other NSW government agencies to help assess and recommend applications, and introduce unsuccessful applicants to other support programs that may be of assistance to them.

20. We may also be required to disclose information by law. For example, Investment NSW is subject to the Government Information (Public Access) Act 2009 ("GIPA Act"), which means the information you provide may be required to be released in response to a request under the GIPA Act. We may also be required to disclose information to oversight and investigative bodies and to the NSW Parliament.



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21. Please refer to website <http://www.dpc.nsw.gov.au/privacy> for more information on Investment NSW's privacy policy and your rights to access or correct the information.

22. By submitting this application form, you consent to Investment NSW collecting, using and disclosing information about you in the manner described above.

23. You must comply with the Privacy Act 1988 (Cth) in relation to any personal information disclosed to you by Investment NSW in connection with this application or the funding program.

24. All applications become the property of Investment NSW on submission. Investment NSW may make copies of the application for any purpose.

## Declaration

I confirm that:

1. I have read and understood the Terms;
2. I agree to the Terms;
3. I have read and understood the funding guidelines with respect to assistance under this program; and
4. I am authorised to make this application on behalf of the prospective applicant; and
5. the information provided in this application is true, correct and valid as at the date of submitting this application.

\*

I Agree

**Name \***

First Name

Last Name

**Position held \***

**Date of declaration \***

Must be a date.