# Instructions to applicants

The NSW Small Business Innovation & Research (SBIR) program is a NSW Government initiative that provides competitive grants to small and medium-sized enterprises (SMEs) to develop and commercialise innovative solutions to well-defined problems for NSW Government agencies. The SBIR program is focused on supporting innovative technologies or services that both solve NSW Government challenges, and which could be commercialised and sold to other end-users.

Proposed solutions must be innovative technologies or services that require development and commercialisation, not existing solutions that are already commercially available in Australia or elsewhere. Proposed solutions must have commercial potential in domestic or international markets. Grant recipients will retain intellectual property rights and the right to sell their solutions in domestic and global markets.

Proposed solutions must address one of the five 2021 NSW SBIR program challenges:

* Connectivity Challenge
* Hyperlocal Navigation Challenge
* Koala Count Challenge
* Personal Protective Equipment Challenge
* Water Purification Challenge

The challenge statements are available at [www.chiefscientist.nsw.gov.au/sbir](http://www.chiefscientist.nsw.gov.au/sbir)

## How to apply

All applicants should read the 2021 SBIR Program Guidelines before applying (available at [www.chiefscientist.nsw.gov.au/sbir](http://www.chiefscientist.nsw.gov.au/sbir)). The Guidelines set out:

1. The eligibility and assessment criteria
2. How we assess applications
3. How we notify applicants and enter into grant agreements with grantees
4. How we monitor and evaluate performance
5. Responsibilities and expectations of grantees.

Please respond to all questions in this application form. We also ask applicants to provide:

1. Evidence of financial resources
2. A project budget
3. A video presentation.

**Applications close at 11:59pm AEST on Sunday 29 August 2021.**

The application form for Phase 1: Feasibility study commences on the next page. The application will only accept free text entry or basic formatting (e.g. simple tables). Please email your completed application and the requested attachments to [sbir@chiefscientist.nsw.gov.au](mailto:sbir@chiefscientist.nsw.gov.au).

Once applications close, a panel of assessors will review your application. During this process, we may contact you to request further information.

# Section A: Applicant details

### Applicant details

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| **Applicant type** | | Choose an item. |
| **Organisation name** | | Click or tap here to enter text. |
| **Organisation ABN** | | Click or tap here to enter text. |
| **Organisation address** | Street | Click or tap here to enter text. |
| Suburb | Click or tap here to enter text. |
| Postcode | Click or tap here to enter text. |
| State | Click or tap here to enter text. |
| **Organisation size (FTE)** | | Click or tap here to enter text. |
| **Primary contact** | Name | Click or tap here to enter text. |
| Position | Click or tap here to enter text. |
| Phone | Click or tap here to enter text. |
| Email | Click or tap here to enter text. |
| **Secondary contact** | Name | Click or tap here to enter text. |
| Position | Click or tap here to enter text. |
| Phone | Click or tap here to enter text. |
| Email | Click or tap here to enter text. |
| **Challenge addressed** | | Choose an item. |
| **How you found out about SBIR** | | Click or tap here to enter text. |

### Eligibility

Applicants must meet all criteria (a) to (e) (*mark below*):

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|  | 1. Have an Australian Business Number (ABN) | | |
|  | 1. Be one of the following entities: |  | 1. A small or medium-sized enterprise with under 200 full-time equivalent employees, or |
|  | 1. An individual or partnership, provided you agree to form a company incorporated in Australia to enter into a grant agreement, or |
|  | 1. A NSW public research organisation applying through its appropriate technology transfer office, provided you agree to form a company incorporated in Australia to enter into a grant agreement. |
|  | 1. Meet one of the following criteria: |  | 1. Be headquartered in NSW, or |
|  | 1. Conduct the majority of business research and development and production operations in NSW. |
|  | 1. Hold the Intellectual Property or the rights to commercialise the proposed solution. | | |
|  | 1. If successful, undertake to conduct SBIR program-related research and development work in NSW. | | |

# Section B: Technical (40 points)

### Question B.1: Proposed solution (max 800 words)

Describe your proposed solution and how it addresses the challenge. Ensure you describe the main technical deliverables of the solution, and what might be achieved by deploying the solution to address the challenge. Ensure you address how your solution meets the solution requirements.

This question will be scored against this assessment criterion: *‘To what extent would the proposed solution address the challenge statement, including the solution requirements?’*

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| Click or tap here to enter text. |

### Question B.2: Technical readiness (max 300 words)

Describe the technical readiness of your proposed solution and how it is an appropriate solution to consider in a feasibility study. Ensure you refer to the current Technical Readiness Level of the technology:

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| **TRL** | **TRL Description** | **Evidence of Achievement** |
| 1 | Basic principles observed and reported | Published research that identifies the principles that underlie this technology |
| 2 | Technical Device/System concept formulated | Practical applications (e.g. devices) of the basic principles of the invention |
| 3 | Technical proof of concept demonstration | The basic performance of the invention is demonstrated in a laboratory setting |
| 4 | Alpha prototype validation in laboratory environment | A simple prototype is developed, and its performance is demonstrated in a laboratory environment. The performance indicates its potential for solving a community need |
| 5 | Beta prototype validation in clinical environment | A more advanced prototype is developed, and its performance is demonstrated in a community environment and further end-user feedback is gained for the final design phase |
| 6 | Final Device/System design validation with clinical pilot study | The design of the device or system is frozen, and a small number of devices/systems are manufactured, and a pilot study is conducted by a key opinion leader. A pilot study report is prepared showing the results of the study |
| 7 | Device/System from pilot manufacturing line is being trialled in multiple geographical locations | A larger sample of devices/systems are manufactured and sent to multiple sites in different geographical locations for trialling. The reports from these trials will be used for submissions to regulatory authorities |
| 8 | Device/System is partially approved and in commercial use | The device/system has been approved in limited geographical regions and is in commercial use in those regions |
| 9 | Device/System is fully approved and in commercial use worldwide | The device/system is approved for use worldwide and is in commercial use worldwide |

This question will be scored against the assessment criterion: *‘Is the proposed solution ready to enter the feasibility study stage?’*

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| Click or tap here to enter text. |

### Question B.3: Innovation (max 500 words)

Describe how your proposed solution is innovative and superior to what is currently available on the market. Ensure you describe other competing solutions on the market and how your solution differentiates itself from them. Note any relevant intellectual property rights.

This question will be scored against the assessment criterion: *‘How is the proposed solution innovative and superior to what is currently on the market?’*

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| Click or tap here to enter text. |

# Section C: Commercial (30 points)

### Question C.1: Commercial potential (max 600 words)

Describe the commercial potential of your solution. Ensure you identify your target end-users in the public and/or private sector in Australia and internationally, and how they would benefit from your solution.

This question will be scored against the assessment criterion: ‘*Does the proposed solution have commercial potential?’*

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| Click or tap here to enter text. |

### Question C.2: Investment potential (max 500 words)

Justify the public investment from the NSW Government required to bring your solution to market. Ensure you identify the investment required to commercialise your solution and the size of the end markets in Australia and internationally for your solution. Ensure you explain why the funding represents value for money for the taxpayer, how it will deliver economic and other benefits for NSW, and why you need public funding to commercialise the solution.

This question will be scored against the assessment criterion: *‘Given its commercial potential, does the proposed solution deserve public investment?’*

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| Click or tap here to enter text. |

### Question C.3: Commercialisation plan (max 600 words)

Describe how you will realise the commercial potential of your proposed solution. Ensure you provide a clear plan, timeline and milestones for the route to market. Ensure you identify potential barriers and mitigation approaches.

This question will be scored against the assessment criterion: *‘Does the application provide a reasonable plan for the next steps towards commercialisation and adoption, including identifying potential barriers and how these will be mitigated?’*

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| Click or tap here to enter text. |

# Section D: Delivery (30 points)

### Question D.1: Skills and experience (max 400 words)

Describe your organisation’s capability to deliver the solution. Ensure you describe your organisation’s and project team members’ relevant skills and experience.

This question will be scored against the assessment criterion: *‘Does the company and project team have the appropriate skills and experience to carry out the project?’*

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| Click or tap here to enter text. |

### Question D.2a: Resources (max 200 words)

Describe the equipment and facilities necessary to deliver the project and how you will access them.

This question will be scored against the assessment criterion: *‘Does the team have access to the equipment, technology, infrastructure and financial resources needed to carry out the project?’*

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| Click or tap here to enter text. |

### Question D.2b: Financial resources (attachment)

If you are a business, attach to your email submission Profit & Loss statements and Balance Sheets from the last two financial years (FY2018/19 and 2019/20 or equivalent).

If you are not yet incorporated, attach evidence of:

1. Sufficient financial resources to undertake the project and commercialise the solution, and
2. Your intention to incorporate a business if you are successful in receiving funding.

This question will be scored against the assessment criterion: *‘Does the team have access to the equipment, technology, infrastructure and financial resources needed to carry out the project?’*

### Question D.3a: Project plan (max 800 words)

Provide a detailed project plan for phase 1 (undertaking the feasibility study) and an outline of the project plan for phase 2 (developing a proof of concept). Ensure you identify:

1. The main milestones and deliverables
2. When and how key stakeholders and resources would be engaged
3. The project management processes that will ensure you achieve the milestones
4. The main technical, commercial and environmental risks and what you will do to mitigate them
5. How you would handle any IP issues which might arise during the project.

This question will be scored against the assessment criterion: *‘Does the application provide a reasonable project plan, including a budget, risk management plan and performance measures?’*

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| Click or tap here to enter text. |

### Question D.3b: Project budget (attachment)

Attach to your email submission a detailed budget for phase 1 (undertaking the feasibility study) and an outline of the budget for phase 2 (developing a proof of concept).

This question will be scored against the assessment criterion: *‘Does the application provide a reasonable project plan, including a budget, risk management plan and performance measures?’*

# Section E: Video presentation

Your application should include a video presentation no longer than three minutes. Your video must:

1. Describe the solution and how it works
2. Identify the end-users and markets for your solution
3. Explain your plan to commercialise the solution.

You may attach the video file to your email submission or include a link in the body of the email submission.

# Section F: Referees

Please provide two referees who can comment on your organisation and team’s capabilities. Your referees must be from a different organisation. However, if you are applying as a university, one referee may be from the same organisation.

If your referees are contacted, all information provided will remain confidential and used solely to verify the strength of your application.

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|  | **Referee 1** | **Referee 2** |
| **Name** | Click or tap here to enter text. | Click or tap here to enter text. |
| **Position** | Click or tap here to enter text. | Click or tap here to enter text. |
| **Organisation** | Click or tap here to enter text. | Click or tap here to enter text. |
| **Phone** | Click or tap here to enter text. | Click or tap here to enter text. |
| **Email** | Click or tap here to enter text. | Click or tap here to enter text. |

# Section H: Conflicts of Interest

Conflicts of interest can affect the performance of the program. For example, there may be an actual, potential or perceived conflict of interest if you or any of your personnel have a professional, commercial or personal relationship with a party who could influence the application selection process, such as an NSW Government officer or member of an external panel.

Please declare any actual, potential or perceived conflicts of interest, or declare that, to the best of your knowledge, there are no conflicts of interest. If you later identify an actual, potential or perceived conflict of interest, you must inform us in writing immediately.

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| Click or tap here to enter text. |

# Section I: Declaration

Please check the below boxes to confirm the declaration.

I declare that the information provided in this application form is true and correct.

I understand that the information provided in my application will remain confidential and only used for the purposes of assessing the application, evaluating the performance of a grant awarded under the SBIR program and evaluating the performance of the SBIR program.

I consent to any information provided in my application being shared with my nominated referees for the purpose of verifying the strength of my application, unless: (a) the information is provided in response to Question D.2b: Financial resources, or (b) I identify a specific piece of information as confidential and commercially sensitive and explain why it should be treated as confidential.

I understand that if my application is successful, the NSW Government may disclose my business name and a basic summary of my proposed solution when announcing the awarding of grants.

I understand that the NSW Government may disclose confidential information provided in my application if required by law.

I understand that my application will be assessed in accordance with the procedure outlined in the SBIR Program Guidelines (available at [www.chiefscientist.nsw.gov.au/sbir](http://www.chiefscientist.nsw.gov.au/sbir)).

I understand that the NSW Government may conduct a credit check on my organisation as part of the assessment process.

If I receive a grant through the SBIR program, I understand that there is no guarantee that the NSW Government will purchase my solution.

If I receive a grant through the SBIR program and the NSW Government wishes to purchase my solution, I undertake to conduct negotiations for the sale of that solution in good faith.

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| **Name** | Click or tap here to enter text. |
| **Position** | Click or tap here to enter text. |
| **Organisation** | Click or tap here to enter text. |
| **Date** | Click or tap to enter a date. |

**Submit your application via email**

Please submit your application via email to [sbir@chiefscientist.nsw.gov.au](mailto:sbir@chiefscientist.nsw.gov.au)

Your email should include:

1. This application form
2. Evidence of financial resources (Question D.2b)
3. A project budget (Question D.3b)
4. A video presentation (Section E).