

# Enterprise Strategic Grants Management System (eSGMS) Incubator Support Initiative (ISI) (New and Existing Incubator Support and Expert- in-Residence) eSGMS User Guide

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Version 1.1

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## Getting Started

## Getting Started

### Introduction

#### Purpose

This document is a guide to entering the Incubator Support Initiative (ISI) information into eSGMS, in accordance with the current policies and guidelines introduced with effect from October 2016.

**Please note: The example information provided in the page displays in this guide may not be for your specific programme.**

#### Recording information in eSGMS

The Incubator Support Initiative (ISI) provides funding through two granting components:

1. Support for New and Existing Incubators (NEI)
  - to help develop new Incubators in regions or sectors with high potential for success in international trade, and
  - to boost the effectiveness of high performing Incubators, including funding support to expand their services and/or develop the innovation ecosystem
2. Support for Expert-in-Residence (EIR)
  - to provide access to top quality research, managerial and technical talent through secondments of national or international expert advisers who will improve the chance of commercial success for start-ups in international markets.

Applicants complete and submit an online Application form available on the [business.gov.au](http://business.gov.au) website (separate form for each component).

The form is sent to eSGMS after it is submitted by the applicant and an Application record is created.

Both the Grant Type and Round fields in eSGMS specify the component of funding i.e. NEI or EIR.

## Getting Started

### Decision Making Process

#### For NEI:

An eligibility decision is made, and if the applicant is deemed eligible the Application is scheduled to a committee where a recommendation is made.

The Minister makes a final decision based on the recommendations made by the committee.

The Recommendation and Decision details are entered into eSGMS via the agenda item on the committee meeting record.

Once the Decision is recorded and finalised, the system creates a Project Record for approved applications and updates the application record to reflect the decision.

If the application is not approved, then the system updates the application record to reflect the decision.

The CSM Initiates, Issues and Executes the agreement.

The CSM manages the grant by processing payments, recording reporting obligations met and finalising the project in eSGMS.

#### For EIR:

The CSM establishes eligibility and enters a recommendation to the Delegate in eSGMS.

The Delegate makes a final decision based on the recommendations and enters in eSGMS.

Once the Decision is recorded and finalised, the system creates a Project Record for approved applications and updates the application record to reflect the decision.

If the application is not approved, then the system updates the application record to reflect the decision.

The CSM Initiates, Issues and Executes the agreement.

The CSM manages the grant by processing payments, recording reporting obligations met and finalising the project in eSGMS.

**PLEASE CONTINUE TO NEXT PAGE FOR DETAILED INSTRUCTIONS**

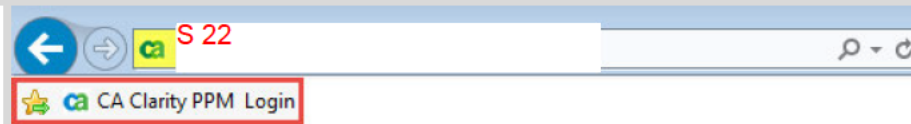
## Logging on

### Logging on

- 1 Open **Internet Explorer** and navigate to the login page via the link below.

S 22

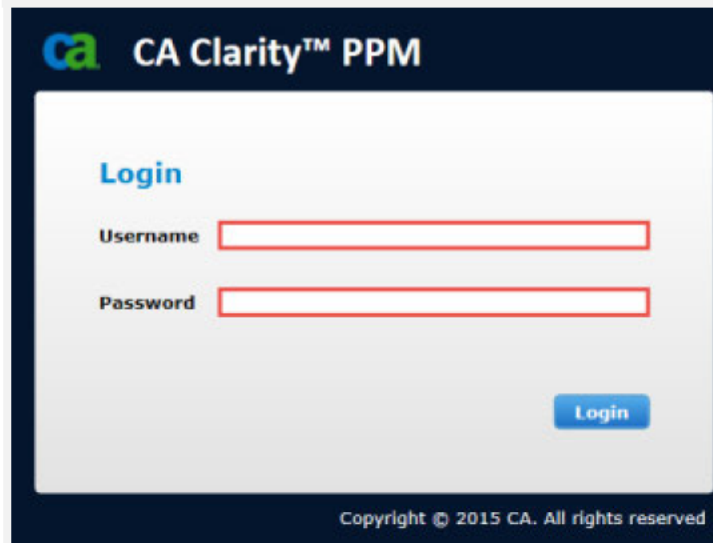
Hint: Add a shortcut to the Favourites bar by clicking on the star icon, or type *esgms* into the address bar after the first time you have used the full link



- 2 Enter your network user name and password and click **Login**

Note: If you do not have access to eSGMS, obtain approval from your EL2 and email your access request to *AusIndustry Systems*.

Your access request must include your name, your Industry logon, your office address, email address and phone number and a description of the access you require (eg: CSM only, approving payments, authorising variations, checking finance commitments).



## Organisations

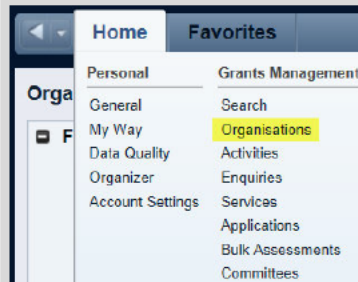
### Organisations

#### View an existing organisation

When the SmartForm is submitted, eSGMS checks whether the organisation already exists. If it does not, a new organisation record is created. If it exists, the organisation record is **not** created or updated.

**N.B.** The organisation details should always be checked against the ABR to ensure the organisation type meets the qualifying criteria. It is important to confirm that the applicant organisation is not registered as a Trust, as applicants sometimes enter the details of a Trust as the applicant organisation rather than nominating the Trustee as the applicant.

- 1 Hover over **Home** and select **Organisations**



## Organisations

- 2 Search for an organisation by using the filter fields provided.

Use ABN or ACN fields for the most accurate results

Click **Filter** to bring up a list of results

Click on the organisation name to view or edit organisation details

If the Organisation exists:

Check the details on the Australian Business Register (ABR). There is a shortcut to the ABR ABN look up on the Organisation page. After typing in the ABN or ACN, the details for the organisation will appear.

**Hint: Use the asterisk (\*) as a wild card to bring up any organisation containing those letters**

If the organisation does not exist, click **New Organisation**

### Organisation List

 Filter: System Default ▼

|                                                                               |                                                              |
|-------------------------------------------------------------------------------|--------------------------------------------------------------|
| Name <input type="text"/>                                                     | Business Country <input type="text"/>                        |
| ( Please use an asterisk (*) when searching for previous organisation names ) |                                                              |
| ABN <input type="text"/>                                                      | Business Suburb <input type="text"/>                         |
| ACN <input type="text"/>                                                      | Electorate <input type="text"/>                              |
| Organisation Type <input type="text"/>                                        | Wish to receive information <input type="text" value="All"/> |
| Name Type <input type="text"/>                                                | Inactive <input type="text" value="No"/>                     |
| Country of Incorporation <input type="text"/>                                 | Power Filter [Build Power Filter]                            |
| Trust Name <input type="text"/>                                               |                                                              |
| Organisation ID <input type="text"/>                                          |                                                              |

To view results, click Show All or enter search criteria and click Filter

## Organisations

Properties Processes Audit **ABN Lookup** Company Name Search Dashboard

Organisation: **S 22** - General - ABN Lookup

This Organisation

| ABN         | ACN         |
|-------------|-------------|
| <b>S 22</b> | <b>S 22</b> |

ABN Lookup

[skip to content](#)

[Home](#) [Search](#) [Tools & resources](#) [Help](#)

Australian Government  
Australian Business Register

# ABN Lookup

Type an ABN, ACN or name 

[ABN Lookup](#) » [Search](#) » Current details for **S 22**

## Current details for ABN **S 22**

[Current details](#) [Historical details](#)

## Organisations

### Create a new organisation

- 1 If you have searched and the organisation does not exist, click **New Organisation**

New Organisation

- 2 Enter the following mandatory details:
- **Organisation Name**
  - **Name Type** (Registered Name; Trading Name; Individual; Entity)
  - **Country of Incorporation** (If you need to change the country, use the binoculars and select and add from the country list)

Click **Save** to continue, or **Return** to cancel

#### Create Organisation

##### General

Organisation  Name

Name  Type

Country of  Incorporation  

 = Required



## Organisations

- 3 Complete all organisation fields, using as much detail as possible. The sections to fill are:

General

- Organisation Name
- Name Type
- Date of Incorporation
- Registered for GST
- ABN
- Date of Registration for ABN
- ABN Branch No
- ACN
- Wish to receive information?
- Organisation Type
- Other (type)
- Entity Registration Number
- ASX Code
- ANZSIC
- Core Activity
- Website
- Organisation Email
- Are you an Indigenous business with at least 50% Indigenous ownership?

Trust Details

- Trust Name
- Trust ABN
- Registered for GST
- Date of Registration of ABN

Organisation: **s 22** General - Properties

**General**

\*ID **s 22**

Organisation Name **user guide**

Name Type **Registered Name**

Date of Incorporation

Country of Incorporation **AU**

Registered for GST **[--Select--]**

ABN

Date of Registration of ABN

ABN Branch No

ACN

Wish to receive information? **[--Select--]**

Organisation Type

Other (type)

Entity Registration Number

ASX Code

ANZSIC

Core Activity

Website

Organisation Email

Are you an Indigenous owned business with at least 50% Indigenous ownership? **[--Select--]**

**Trust Details**

Trust Name

Trust ABN

Registered for GST **[--Select--]**

Date of Registration of ABN

Hint: The **ABN Lookup** tab is provided on the top ribbon to assist in completing details. Ensure you press Save before navigating away from the page to preserve any data entered

*Screenshot displaying part 1 of 2*

## Organisations

Continued...

Organisation Contact and Address

- Preferred Method of Communication
- Title
- Other (Contact Title)
- First Name
- Last Name
- Contact Position
- Phone
- Fax
- Mobile
- Contact Email
- Business Address Line 1, 2, 3
- Suburb
- Country
- Postcode
- Electorate *(critical for correct reporting; available options are postcode-based)*

Individual Information

- Geographic Location
- Gender
- Age Bracket
- Employment
- Identity
- Qualifications
- Scholarship Type

Click **Save** to continue, or Return to cancel

Properties Processes Audit ABN Lookup Company Name Search Dashboard

Organisation: S 22 - General - Properties

**Organisation Contact and Address**

Preferred Method of Communication: [--Select--]

Title: [--Select--]

Other (Contact Title):

First Name:

Last Name:

Contact Position:

Phone:

Fax:

Mobile:

Contact Email:

Bus Address Line 1:

Line 2:

Line 3:

Suburb:

Country: Australia

Business State: [--Select--]

Postcode:

Electorate: [--Select--]

Copy business address to postal address: ☐ (Refresh browser after save to reflect changes)

Post Address Line 1:

Line 2:

Line 3:

Suburb:

Country: Australia

Postal State: [--Select--]

Postcode:

**Individual Information**

Geographic Location:

Gender:

Age Bracket:

Employment:

Identity:

Qualifications:

Scholarship Type:

Save Save And Return Return

Hint: If Postal address is the same as Business address, use the tick box **Copy business address to postal address**. Once you have saved, refresh the browser (press F5 key) to populate these fields

## Organisations

4 Hover over **Properties** and select **Financial Data**Click **New**

Select the **Financial Year** from the dropdown box and enter the following details:

- Turnover
- Domestic Sales
- Export Sales
- Other Income
- Revenue from Automotive-related Sales
- Automotive Sales Revenue as a percentage of Total Sales Revenue
- R&D Expenditure
- Total Expenditure
- Taxable Income
- Net Tangible Assets
- Paid Up Capital
- Working Capital
- Net Worth
- Number of Employees
- Number of Contractors
- Customers

Click **Save** to continue, or Return to close

## Organisation: user guide - Create Organisation Financial Data

## General

Financial Year (Starting in)

Turnover \$

Domestic Sales \$

Export Sales \$

Other Income \$

Revenue from Automotive-related Sales

Automotive Sales Revenue as a Percentage of Total Sales Revenue

R&D Expenditure \$

Total Expenditure \$

Taxable Income \$

Net Tangible Assets \$

Paid Up Capital \$

Working Capital \$

Net Worth \$

Number of Employees

Number of Contractors

Customers

**Save**

Save And Return

Return

 = Required

## Organisations

### 5 Hover over **Properties** and select **Related Organisations**

This summary page will show any previously linked related organisations

To create a related organisation click **New**

Use the binoculars next to **Organisation** to bring up the search box

Search for an organisation by using the filter fields provided

Click **Filter** button to bring up the list of results

Select the organisation by clicking on the radio button next to the name and click **Add**

**Organisations**

Name

Trading Name

ABN

ACN

Trustee ABN

Trustee ACN

**Filter** **Show All** **Clear**

| Name▲ | Trading Name | ABN | ACN | Trustee ABN | Trustee ACN | code |
|-------|--------------|-----|-----|-------------|-------------|------|
| s 22  |              |     |     |             |             |      |

**Add** **Return**

## Organisations

- 6 Use the dropdown next to **Relationship** to select relationship type

Click **Save** to continue, or Return to cancel

If necessary, repeat to add another related organisation

### Organisation: user guide - Create Related Organisation

#### General

Organisation  

Relationship  

**Save** **Save And Return** **Return**

 = Required

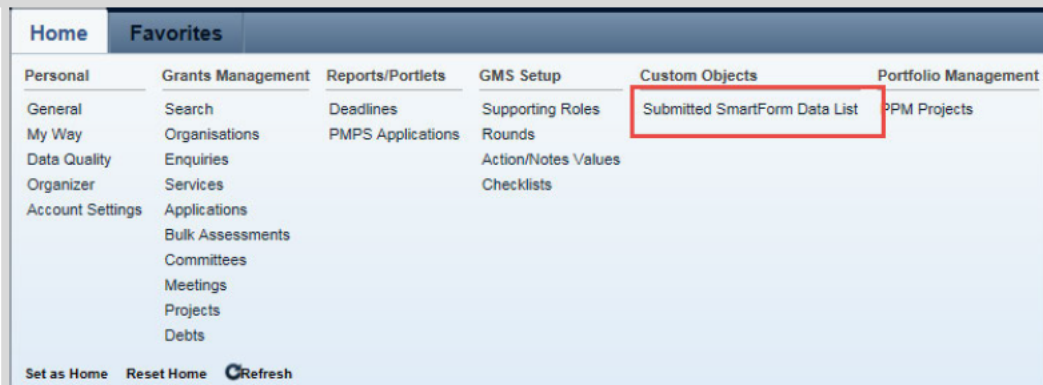
- Select--
- Australian Head Company
- Partner
- Sister
- Subsidiary
- Trust
- Trustee
- Ultimate Holding Company

## Submitted Smartform Datalist

## Submitted Smartform Data List

## Locating Smartforms

- 1 Hover over Home and click **Submitted SmartForm Data List**.



- 2 Using the filter search (one or more fields) to narrow down your search results:

- Receipt number
- Upload status
- Received Date
- Submission Type
- Service type
- Program
- Application Creation Status
- Application is Error
- Service creation Status
- Service is Error

Click Filter.

 A screenshot of the 'Submitted SmartForm Data List' filter interface. It features a 'Filter: None' dropdown at the top left. Below it are various filter fields: 'Receipt Number', 'Upload Status' (dropdown), 'Received Date' (calendar icon), 'Submission Type' (dropdown), 'Service Type' (dropdown), and 'Program' (text input with a search icon). On the right side, there are more filters: 'Application Creation Status' (dropdown), 'Application is Error' (dropdown), 'Application reference Number' (text input), 'Service Creation Status' (dropdown), 'Service is Error' (dropdown), and 'Power Filter' (with a '(Build Power Filter)' link). At the bottom left, the 'Filter' button is highlighted with a red rectangular box, along with 'Show All', 'Save Filter', and 'Clear' buttons.

## Submitted Smartform Datalist

3

Once the search has completed, the results will be displayed below the search filter.

To view the SmartForm details, click on the Receipt Number.

s 22

4

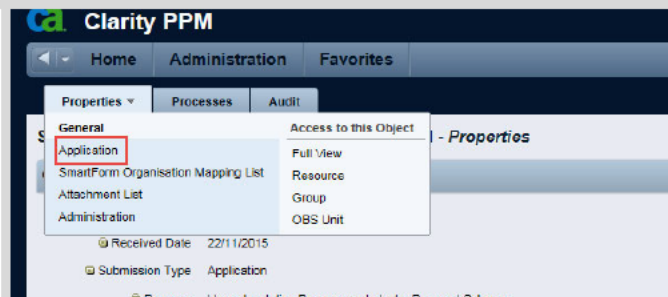
The main page for the smart form will display a summary of the SmartForm in SGMS. This page will display if there are errors in loading any aspect of the SmartForm and is a useful tool when troubleshooting.

*Note: If you are unable to locate details of a submitted smart form, please contact the AusIndustry Systems helpdesk.*

s 22

5

Hover on **Properties** and click Application





## Submitted Smartform Datalist

- 6 This page contains the link to the created record in eSGMS. To view the record, click on the link.

## Smartform Attachments

- 1 Hover on **Properties** and click **Attachment List**

- 2 A list of submitted documents are displayed and will include:
- A pdf copy of the original form
  - All mandatory and non-mandatory documentation required for submission of the form

Open a document by clicking on the link. Once opened, the document can be saved to a desired location as normal. These attachments are also available in the relevant created record.



## Submitted Smartform Datalist

## Applications

## Applications

## Find application

1 Hover over **Home** and click **Applications**

Search for an existing application using the filter fields and click **Filter** button to bring up the list of results.

Click on the **Application Number** to open the application.

## Applications

Filter: None ▼

|                     |                                                           |                           |                                              |
|---------------------|-----------------------------------------------------------|---------------------------|----------------------------------------------|
| Project Title       | <input type="text"/>                                      | CSM                       | <input type="text"/>                         |
| Application Number  | <input type="text"/>                                      | State Office              | All ▼                                        |
| Application Status  | Application Received ▼                                    | Case Manager              | <input type="text"/>                         |
| Organisation        | <input type="text"/>                                      | Processing Centre         | <input type="text"/>                         |
| Program             | Incubator Support Initiative                              | Project Manager           | <input type="text"/>                         |
| Grant Type          | ISI - Expert in Residence<br>( Program must be selected ) | Grant Amount Sought       | <input type="text"/> to <input type="text"/> |
| Grant Activity      | <input type="text"/>                                      | Date Application Received | <input type="text"/> to <input type="text"/> |
| Round               | <input type="text"/>                                      | Application Eligible      | All ▼                                        |
| Project Keywords    | <input type="text"/>                                      | Active                    | Yes ▼                                        |
| Form Receipt Number | <input type="text"/>                                      | Priority Area of Research | <input type="text"/>                         |
|                     |                                                           | Last Updated By           | <input type="text"/>                         |
|                     |                                                           | Last Updated Date         | <input type="text"/>                         |
|                     |                                                           | Power Filter              | [Build Power Filter]                         |





|                          |                    |                     |                 |              |                    |              |
|--------------------------|--------------------|---------------------|-----------------|--------------|--------------------|--------------|
| <input type="checkbox"/> | Application Number | Originating Enquiry | Project Title ▲ | Organisation | Application Status | State Office |
|--------------------------|--------------------|---------------------|-----------------|--------------|--------------------|--------------|

s 22

## Applications

### General Properties

1

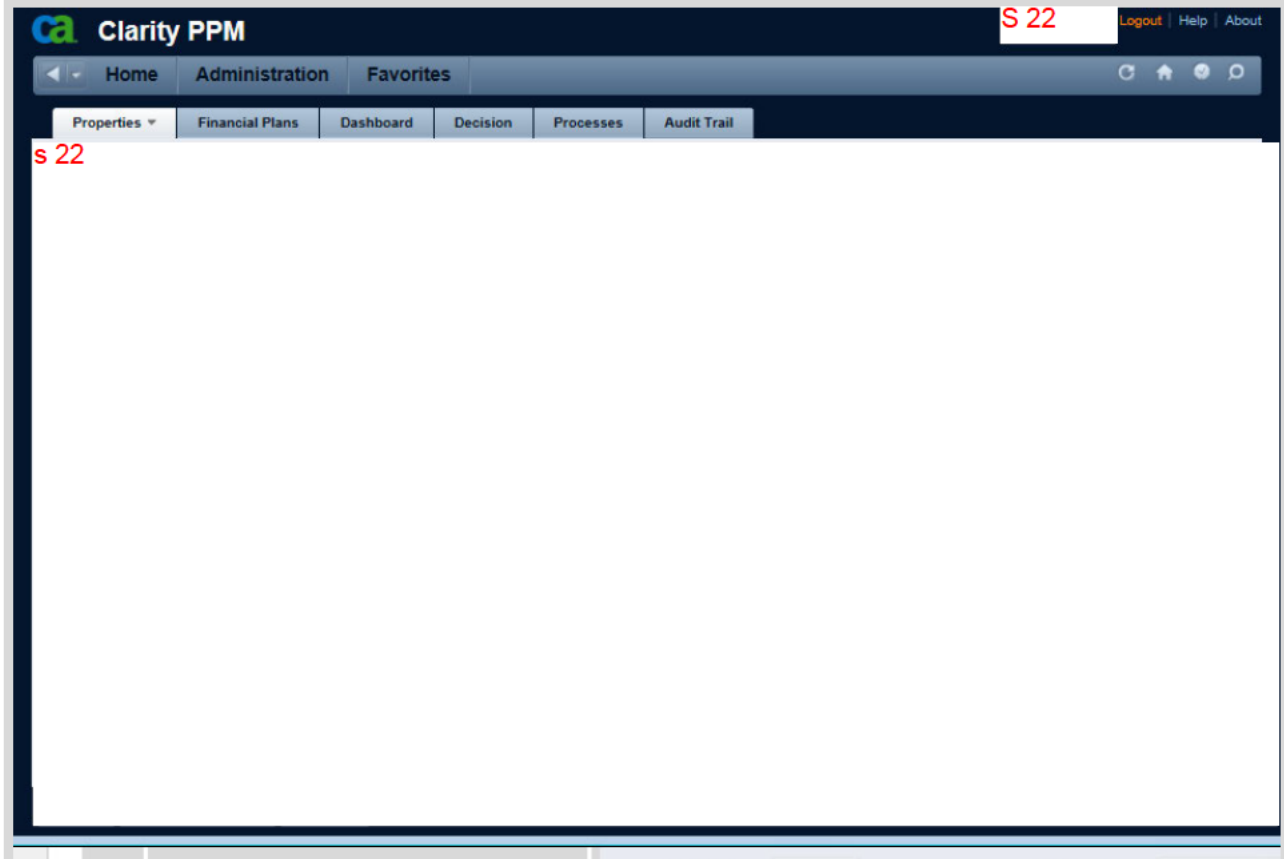
In **Application Details** section, update the following fields

- Date Application Accepted
- TRIM File Number
- Round if applicable

Click **Save** to continue or Return to cancel

#### Withdraw Application:

Applications can be withdrawn on this page. Once marked as withdrawn and saved the status will be updated to **Withdrawn** and the application will be locked to further changes



## Applications

### Project Details

1

Hover over **Properties** and select **Project Details**

Properties ▾

Financial Plans

Main

Properties

Incidents

General

Dependencies

Project Details

Baseline

Project Contact Detail

Project Locations

## Applications

- 2 Using the application form, complete the following fields in the **General** section

- CSM
- Monitoring Officer (if applicable)

Check all relevant fields in the **Proposed Project Details** section against the Submitted Application SmartForm

- Project Title
- Project Description - Public
- Project Summary
- Involves Collaboration?
- New or Existing Incubator
- Project Start Date
- Project End Date
- Project Cost
- Grant Amount Sought
- Applicant Funds Contribution

(all of these details should have integrated from the application smartform. If any are missing contact AI Systems ).

The **Project Basis Section** is not relevant for this program.

Click **Save** to continue or Return to cancel out of the application record.

The screenshot shows a web application interface with a navigation bar at the top containing 'Home', 'Administration', and 'Favorites'. Below this is a sub-navigation bar with 'Properties', 'Financial Plans', 'Dashboard', 'Decision', 'Processes', and 'Audit Trail'. The main content area is titled 'Application: s 22 - Properties - Main - Project Details' with a 'Scenario: [--Select--]' dropdown on the right. The 'General' section contains the following fields:

- CSM: [Text Field]
- Monitoring Officer: [Text Field]
- State Office: [Text Field]
- Originating Enquiry: [Text Field]
- Originating Application: [Text Field]
- How Customer Heard About Program: [Dropdown Menu] (Options: Attend Public Forum, Direct Mail / Email)
- Other: [Text Field]

Below the 'General' section is the 'Proposed Project Details' section, which is currently empty.

## Applications

### Contact Details

- 1 Hover over **Properties** and select **Project Contact Details**

| Properties ▾ | Financial Plans                |
|--------------|--------------------------------|
| Main         | Properties                     |
| Incidents    | General                        |
| Dependencies | Project Details                |
| Baseline     | <b>Project Contact Details</b> |
|              | Project Locations              |
|              | Milestones                     |

## Applications

- 2 All fields in the Contact Details section should have integrated from the form, except for the **Country** field in the address. Please update this.

If the details are not recorded, please enter them.

Letters to the customer are generated from this information, so it is important to capture accurate details.

Click **Save** to continue or Return to cancel

Application **s 22** - Properties - Main - Project Contact Details Scenario: [--Select--]

**Contact Details**

Is the Applicant the Contacts Employer? [--Select--]

Preferred Method of Communication [--Select--]

Copy Organisation Contact Details ☐ ( Refresh browser after save to reflect changes )

Hint: place a tick in this box to carry over information recorded against the organisation

Contact Title [--Select--]

Other (Contact Title)

First Name

Last Name

Project Contact Position

Phone

Fax

Mobile

Email

Business Address

Line 1

Line 2

Line 3

Suburb

Postcode

Country

State [--Select--]

Postal Address ☐ ( Check to set Postal Address to Business Address - fields will be updated after save )

Postal Address Line 1

Line 2

Line 3

Suburb

Postcode

Country

State [--Select--]

**Save** **Save And Return** **Return** [\[Links\]](#)

## Applications

## Project Location

1 Hover over **Properties** and select **Project Locations**. This information should have integrated from the form.

Enter **Electorate** and click **Save**.

If there are no details, click **New**.

Use the binoculars to select the **Address Type**

- Additional
- Primary
- Secondary

Click **Add**

Complete all fields in the Project Location Address section

Note: Ensure the correct **Electorate** has been selected as this is used for Ministerial reporting.

Click **Save** to continue, **Save and Return** to enter additional Project Locations, or **Return** to cancel

If you are processing an EIR application use the link [here](#) to go to the next relevant step.

The screenshot shows the 'Project Location Address' form. On the left, a sidebar menu under 'Properties' includes 'Main', 'Incidents', 'Dependencies', 'Baseline', 'Project Locations' (highlighted), and 'Milestones'. The 'General' tab is active, showing 'Address Type' with a binoculars icon and 'Activity Description'. Below the form, there are 'Save', 'Save And Return', and 'Return' buttons.

The main form section is titled 'Project Location Address' and contains the following fields:

- Copy Organisation Business Address Details:** A checkbox with a blue arrow pointing to it from a hint box.
- Address Line 1, 2, 3:** Text input fields.
- Suburb:** Text input field.
- Country:** Text input field with a binoculars icon.
- State:** A dropdown menu with '--Select--' selected.
- Postcode:** Text input field.
- Electorate:** Text input field with a binoculars icon.
- Project Work % Undertaken at Location:** A text input field showing '0%'.
- Local Government Area:** Text input field.
- Region:** Text input field with a binoculars icon.
- Active?:** A checked checkbox.

A blue callout box with a white border contains the following text:

Hint: if project location is the same as the organisation address, select tick box. Save and refresh the browser (F5) to populate these fields

At the bottom of the form are 'Save', 'Save And Return', and 'Return' buttons.



## Applications

## Milestones (NEI Only)

1 Hover over **Properties** and click **Milestones**

Details will have integrated from the form.

If not, click **New** to add a new milestone

Enter the following details from the form

- Name
- Milestone Number
- Estimated Start Date
- Estimated Achievement Date
- Milestone Cost
- Milestone Description

Note that the Project Start and End Date is rolled up to the Project Details using the earliest Milestone Start Date and the latest Milestone End Date

Click **Save and Return**

Repeat this step for each milestone

| Properties ▾ | Financial Plans         |
|--------------|-------------------------|
| Main         | Properties              |
| Incidents    | General                 |
| Dependencies | Project Details         |
| Baseline     | Project Contact Details |
|              | Project Locations       |
|              | <b>Milestones</b>       |

Application: **s 22** - Properties - Main - Milestones

Filter: System Default ▾

There are no items to display

New

Return

| Properties ▾ | Processes |
|--------------|-----------|
|--------------|-----------|

**s 22**

## Applications

## Financial Plans

1

Select **Financial Plans** tab from the top of the page

Click on the **Properties** icon next to **Financial Year Splits**

Update the following **Draft Funding Plan Properties** fields

- Plan Start Period (*The financial year when the first payment will be made*)
- Plan End Period (*The financial year when the last payment will be made*)
- Plan of Record (must be ticked)

Click **Save** to continue

Properties Financial Plans ▼ Dashboard Decision Processes Audit Trail

s 22

Application: s 22 | Draft Funding Plan s 22 | Financial Year Splits - **Draft Funding Plan Properties**

General \*

Plan Name s 22 Financial Year Splits ☐ Grouping Attributes Transaction Class

\* Plan ID s 22

Description

Period Type Annually

Plan Start Period 2014/15

Plan End Period 2019/20

Project Expenditure Plan

Currency AUD

Plan of Record ☒

☒ = Required ☐ = Enter Once \* = Unique

## Applications

2

Click on the **Detail** tab

Enter the anticipated **Financial Year Caps** under the correct year boxes in the Cost row.

The system will only allow you to enter figures in the years set out by the **Plan Start Period** and **Plan End Period** (See *previous step*)

Note:

Ensure you have allocated the total amount being paid for each financial year.

Ensure that the total budget amount submitted equals the Grant Amount Sought

Click **Save** to calculate totals, adjust financial year splits, if required, until the total equals the total grant amount sought.

Click the **box** on the left hand side next to your record.

Hover over **Actions** and click **Submit Plan of Record for Approval**

Properties **Detail** Processes

Application: **s 22** | Draft Funding Plan: **s 22** | Financial Year Splits - *Draft Funding Plan* | Actions

Show: Investment Currency View

Filter: None

|                          | Transaction Class | Total Cost  | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 | 2022/23 |
|--------------------------|-------------------|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|
| <input type="checkbox"/> |                   | <b>s 22</b> |         |         |         |         |         |         |         |         |         |

Save Add Delete Return

Application: **s 22** - Financial Plans - *Draft Funding Plans* | Actions

Filter: System Default

|                          | Draft Funding Plan Name | ID          | Plan of Record | Set Plan of Record | Start Period | Finish Period |
|--------------------------|-------------------------|-------------|----------------|--------------------|--------------|---------------|
| <input type="checkbox"/> |                         | <b>s 22</b> |                |                    |              |               |

Save New Manual Plan Delete

General

- Set as Plan of Record
- Submit Plan of Record for Approval**
- Copy Draft Funding Plan

Displaying 1 - 1 of 1

## Applications

4

Amend any details if necessary and click **Submit for Approval**

You will be redirected back to the overview page where an alert should appear '**Approved Funding created successfully**'

Once a budget plan has been submitted for approval it is unable to be changed by the CSM. If changes are required: contact the Program Manager to reject the draft budget and arrange to submit a revised copy.

Detailed instructions for submitting revised financial plans are in section [Financial Year Splits](#)

The budget plan is not approved at this stage. It is submitted for information only. If the application is approved, the budget plan is approved after the Project record is created.

Application: **s 22** [Submit For Approval](#)

**Submit Cost Plan to Budget**

Plan Name: **s 22** Financial Year Splits x

Plan ID: 00100473

Description:

Plan Start Period: 2014/15 x

Plan End Period: 2019/20 x

Status: Submitted

Grouping Attributes: Transaction Class

[Submit for Approval](#) [Return](#)

☒ = Required ☐ = Enter Once ☒ = Unique

**ALERT:** Approved Funding created successfully

## Applications

5

Hover over **Financial Plans** and click **Project Expenditure Plans**

Click on the **Expenditure Plan** (eg. ISINEI Expenditure Plan) to open the Expenditure Plan and check the expenditure amounts listed in the application form under the relevant Expenditure items.

The system will only allow you to enter/update figures in the years set out by the **Plan Start Period** and **Plan End Period** (See *Expenditure Plan Properties* below)

Click **Save** (if you have updated anything) and then **Return** to continue with the application.

Note: this table will have integrated from the application form. Please ensure all details are correct.

Filter: System Default ▼

| Name ▲ | Active | Start | Finish | Total Project Expenditure | Period Type | Created Date | Version Num |
|--------|--------|-------|--------|---------------------------|-------------|--------------|-------------|
| s 22   |        |       |        |                           |             |              |             |

Save New Delete

| Annual Expenditure Details |             |         |         |         |         |         |         |         |         |         |         |         | Expenditure Total | Actual E |
|----------------------------|-------------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|---------|-------------------|----------|
| Sort Order ▲               | Expenditure | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2024/25 | 2025/26 | 2026/27 |                   |          |
| s 22                       |             |         |         |         |         |         |         |         |         |         |         |         |                   |          |

Project Expenditure Plan select list page

Project Expenditure page

## Applications

6

Click on **Properties** tab to display the **Properties** page

Ensure the tick box “**Active**” is checked.

Set the Plan Start and End Dates according to the duration in the application.

Click **Save** to continue

If you are processing an EIR application go to Key Personnel using the hyperlink [here](#)

Otherwise continue to the next page.

The screenshot shows a web application interface for 'Project Expenditure Plan Properties'. At the top, there are tabs for 'Properties', 'Detail', and 'Processes', with 'Properties' being the active tab. Below the tabs, the breadcrumb trail reads: 'Application: s 22 | Project Expenditure Plan s 22 | Expenditure Plan - Project Expenditure Plan Properties'. The main form area is titled 'General' and contains the following fields:

- Plan Name:** A text field containing 'Expenditure Plan'.
- Period Type:** A dropdown menu set to 'Annually'.
- Plan Start Period:** A date field set to '2019/20'.
- Plan End Period:** A date field set to '2019/20'.
- Active:** A checkbox that is checked.
- Total Project Expenditure:** A read-only field showing '0.00'.
- Version Number:** A dropdown menu set to '--Select--'.

At the bottom of the form, there are three buttons: 'Save' (highlighted in yellow), 'Save and Return', and 'Return'.

## Applications

## Proposed Committee (NEI Only)

1

Hover over **Properties** and click **Proposed Committee**.

Use the dropdown next to **Proposed Committee** and select the Committee.

Use the binoculars next to **Proposed Meeting Date** and search for committee meeting date, select the meeting date and click **Add**

Click **Save**

For EIR, continue to Key Personnel using the hyperlink [here](#)

Hint: the nominated committee and meeting date can be changed up until the application is Finalised.

The screenshot shows a web form titled "Proposed Committee". It features a dropdown menu for "Proposed Committee" with "--Select--" as the current selection. To the right is a search field for "Proposed Meeting Date" with a binoculars icon. Below these fields are three buttons: "Save" (highlighted in yellow), "Save And Return", and "Return". A legend at the bottom left indicates that a red square icon means "Required".



## Applications

## Eligibility

1 Hover over **Properties** and click **Eligibility**

Complete all fields in **Application Eligibility**

- Application Eligible = Yes
- Enter Eligibility Decision Date
- Eligibility Decision By

If application is **Ineligible**, select **No** from Application Eligible dropdown and enter reason in **Reason for Ineligibility** field

The application can be marked as ineligible at any time in the process, at which point the application will lock and no further edits can be made

Click **Save** to continue or **Return** to cancel

Note: if the application is eligible, this item will not save as completed on the dashboard until the other dashboard items are completed. ([See Dashboard](#))

**For NEI only**, when the Application has been marked as Eligible, a link to the Merit Assessment page will appear on the Properties menu.

If you are processing an EIR application go [here](#) to read the instructions for the next steps

**Properties** ▾ **Financial Plans** **Dashboard**

**Main** **Properties**

Incidents **General**

Dependencies Project Details

Baseline Project Contact Details

Project Locations

Milestones

**Eligibility**

Proposed Committee

Decisions

Generate Documents

Action/Notes

Attachment List

Application <sup>s 22</sup> - Properties - Main - Eligibility

**Application Eligibility**

Application Eligible [--Select--] ▼ ▲

( Please note, setting 'Application Eligible' to 'No' will lock the application. Only to be set when an application is determined ineligible. )

Eligibility Decision Date [Calendar Icon]

Eligibility Decision By [Text Field]

Reason for Ineligibility [Text Area]

**Save** **Save And Return** **Return**



## Applications

## Merit Assessment (NEI Only)

1

Hover over **Properties** and select **Merit Assessment**

Complete the following fields in the Merit Assessment section

- Merit Score (if applicable)
- Finalise Application (Do not tick box until all information has been entered and the application is ready for referral to the committee)
- Recommendation (Yes or No)
- CSM Comments

Click **Save** to schedule the application to the committee for consideration, or **Return** to cancel

For NEI, the Recommendation and Decision is entered against the Agenda item created when the Application is Finalised.

For instructions on how to do this, see the *eSGMS User Guide – Committees and Decisions*.

| Properties ▾ | Financial Plans         | Dashboard |
|--------------|-------------------------|-----------|
| Main         | Properties              |           |
| Incidents    | General                 |           |
| Dependencies | Project Details         |           |
| Baseline     | Project Contact Details |           |
|              | Project Locations       |           |
|              | Milestones              |           |
|              | Eligibility             |           |
|              | Proposed Committee      |           |
|              | <u>Merit Assessment</u> |           |
|              | Decisions               |           |
|              | Generate Documents      |           |
|              | Action/Notes            |           |
|              | Attachment List         |           |

## Applications

## Dashboard

1 Click on **Dashboard** tab

Items requiring action are marked with a red cross. Click on the item's name which hyperlinks to the page to either input or amend data.

When all checklist items are marked with a green tick the application merit assessment can be undertaken. See instruction by using the link [here](#)

For NEI, continue to Committees and Decisions instructions using the hyperlink [here](#)

For EIR, continue to Recommendation Instructions using the hyperlink [here](#)

Note: the dashboard checks that Business rules are met and program limits (e.g. grant %) are not exceeded. This ensures the correct information is forwarded for consideration by the committee/decision maker

Properties Financial Plans **Dashboard** Decision Processes Audit Trail

Application: **S 22** **Dashboard**

Related Project App to Proj

There are no items to display

Application Dollar Summary

**S 22**

Application Date Summary

| Item               | Start Date | End Date | Project Months | Min. Months | Max. Months |
|--------------------|------------|----------|----------------|-------------|-------------|
| ✓ Project Timeline | 4/02/17    | 28/02/17 | 1              | 0           | 12          |

Displaying 1 - 1 of 1

Application Checklist

| Item Checked                                                                 | Yes | No | Info. |
|------------------------------------------------------------------------------|-----|----|-------|
| Involves Collaboration? (Select Yes or No)                                   | ✓   |    |       |
| Project Title Entered?                                                       | ✓   |    |       |
| Project Description is Entered?                                              | ✓   |    |       |
| Contact Details Entered?                                                     | ✓   |    |       |
| Business Address Entered?                                                    | ✓   |    |       |
| CSM Entered?                                                                 | ✓   |    |       |
| Project Expenditure Plan Entered?                                            | ✓   |    |       |
| Milestones Entered?                                                          | ✓   |    | 0     |
| Application Eligible?                                                        |     | ✗  |       |
| Date Application Accepted is Entered?                                        |     | ✗  |       |
| Date Application Accepted >= Date Application Received                       |     | ✗  |       |
| Project Address Entered?                                                     |     | ✗  |       |
| Draft Budget Plan <= Grant Amount Sought?                                    |     | ✗  |       |
| Financial Year Splits Submitted?                                             |     | ✗  |       |
| Submitted Budget/Project Expenditure is not greater than the Grant % sought? |     | ✗  |       |

Displaying 1 - 15 of 15

Application Action Summary

## Applications

## Key Personnel (EIR only)

1 Hover over **Properties** and click **Project Key Personnel**

Open the record by clicking on the **properties** box next the First Name

Ensure the details are entered correctly from the application and the active tickbox is selected.

*Note: the Additional Information section is not relevant for this program.*

Click **Return** to continue

Now go to the Eligibility instructions using the hyperlink [here](#)

Properties

- General
- Project Details
- Project Contact Details
- Project Locations
- Grant Activities
- Project Key Personnel**
- Eligibility
- Generate Documents
- Action/Notes
- Attachment List
- Business Admin: Active/Inactive
- System Admin Use: Program Parameters (Applications)
- Subpage System Admin Use: Financial (Application)

Properties ▾ Financial Plans Dashboard Decision Processes Audit Trail

Application: **s 22** Properties - Main - Project Key Personnel Scenario: [-Select-]

Filter: System Default ▾

|                          | First Name  | Last Name   | Role                | Organisation | Email | Active?                             |
|--------------------------|-------------|-------------|---------------------|--------------|-------|-------------------------------------|
| <input type="checkbox"/> | <b>s 22</b> | <b>s 22</b> | Expert-in-Residence |              |       | <input checked="" type="checkbox"/> |

Displaying 1-1 of 1

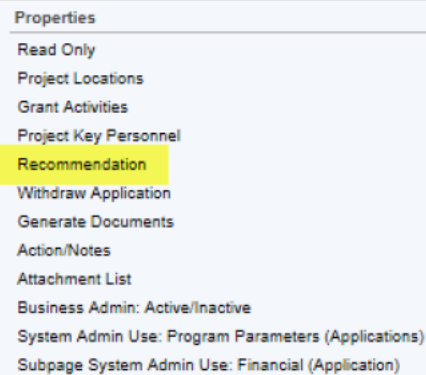
Save New < Delete Return

## Applications

## Recommendation (EIR Only)

- 1 Once the eligibility has been saved, the application locks down and a new page appears in the menu for **Recommendation**.

Hover on **Properties** and click **Recommendation**



- 2 Enter the following details:

- Recommendation Date
- Recommending Officer
- Recommendation
- Recommendation Comments

Click **Save**.

When you are certain that all the recommendation details are correct, tick the **Recommendation Finalised** tickbox.

Click **Save**

 A screenshot of the 'Recommendation' form in a web application. The form is titled 'Application: S 22 Properties - Main - Recommendation'. It includes sections for 'Instructions', 'Recommendation', and 'Finalise'. The 'Recommendation' section contains fields for 'Recommended Start Date' (31/05/2016), 'Recommended End Date' (31/05/2017), 'Recommended Grant Amount' (S 22), 'Grant Recipient' (S 22), 'Recommendation Date' (31/05/2017), 'Recommending Officer' ([-Select-]), and 'Recommendation' ([-Select-]). The 'Finalise' section has a 'Recommendation Finalised' checkbox. At the bottom, there are buttons for 'Save', 'Save And Return', and 'Return', and a legend for 'Required', 'Enter Once', and 'Locked by Process'.

## Applications

## Decision (EIR Only)

- 1 Once the Recommendation has been saved, a new page appears in the menu for **Decision**. This will be the final approval of the application from the delegate.

## NOTE

The officer who makes the decision must be different from the recommending officer

Hover on **Properties** and click **Decision**

## Properties

Read Only

Project Locations

Grant Activities

Project Key Personnel

Recommendation

**Decision**

Withdraw Application

Generate Documents

Action/Notes

Attachment List

- 2  
Click  
Save

Enter the following details:

- Decision
- Decision Date
- Decision Maker
- Decision Comments

Click **Save**.

When you are certain that the decision details are correct, select **Yes** in **Decision Finalised**.

Once a decision is finalised a time consuming and complicated datafix is required to reverse it in the system. **DO NOT** finalise the decision until you are certain the details are correct

Properties - Main - Decision

Application **s 22**

Recommendation

Recommendation Comments: xxx

Recommendation: **s 22**

Recommending Officer: **s 22**

Recommendation Date: 5/09/2015

Decision

Approved Start Date: 31/09/2015

Approved End Date: 31/09/2017

Approved Grant Amount: **s 22**

Grant Recipient: **s 22**

Decision: **s 22**

Decision Date: [Select-]

Decision Maker: [Select-]

Finalise

Decision Finalised: [Select-] (Yes)

Decision Validation Message: [Select-]

Withdraw

Application Withdrawn: [Select-]

Date Withdrawn: [Select-]

Withdrawn by Who: [Select-]

Withdraw Reason: [Select-]

Buttons: Save, Save And Return, Return

Legend: [Required] = Required, [Enter Once] = Enter Once, [Locked by Process] = Locked by Process

## Applications

Note: The application is now complete and a project record is created with the same reference number as the Application.

## Withdraw Application

- 1 Hover over **Home** and click **Applications**  
 Search for an existing application using the filter fields  
 Click **Filter** button to bring up the list of results  
 Click on the **Application Number** to open the application

| <div> <input type="button" value="Filter"/> <input type="button" value="Show All"/> <input type="button" value="Save Filter"/> <input type="button" value="Clear"/> </div> |                    |                     |                 |              |                    |              |     |                   |                    |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|---------------------|-----------------|--------------|--------------------|--------------|-----|-------------------|--------------------|
|                                                                                                                                                                            | Application Number | Originating Enquiry | Project Title ▲ | Organisation | Application Status | State Office | CSM | Processing Centre | Project Start Date |
| <input type="checkbox"/>                                                                                                                                                   | S 22               |                     |                 |              |                    |              |     |                   |                    |
| [                                                                                                                                                                          |                    |                     |                 |              |                    |              |     |                   |                    |
| [                                                                                                                                                                          |                    |                     |                 |              |                    |              |     |                   |                    |

## Applications

## 2 In Withdraw Application section, complete all fields

- Application Withdrawn = Yes
- Date Withdrawn
- Withdrawn by Who (Department or Customer)
- Withdrawn Reason

Click **Save** to withdraw the application or Return to cancel

**Note:** Only withdraw an application when you are 100% sure, as the application will be locked down and not allow any further changes

The screenshot displays the DISR web application interface. At the top, there is a navigation bar with tabs: Home, Administration, and Favorites. Below this is a sub-navigation bar with tabs: Properties, Financial Plans, Dashboard, Decision, Processes, and Audit Trail. The main content area is titled 'Application s 22' and 'Properties - Main - General'. A 'Scenario: [-Select-]' dropdown is visible in the top right. The 'Application Details' section shows 's 22'. The 'Withdraw Application' section contains the following fields:

- Application Withdrawn:** A dropdown menu with '[-Select-]' selected.
- Date Withdrawn:** A text input field with a calendar icon.
- Withdrawn by Who:** A dropdown menu with '[-Select-]' selected.
- Withdrawn Reason:** A text input field with a dropdown arrow.

Below the 'Withdraw Application' section is the 'Organizational Breakdown Structures' section, which includes:

- Program OBS:** A text input field with the value '/DISR/AusIndustry/Incubator' and a help icon.
- Department OBS:** A text input field with the value '/The Department/Whole Depa' and a help icon.

At the bottom of the form are three buttons: 'Save', 'Save And Return', and 'Return'. A '[Links]' link is located in the bottom right corner.



## Projects

## Projects

### Not proceeding: declined/withdrawn

- 1 Once an application has been entered in eSGMS and approved, a **Project** will be created.

To go to the Project Record, hover over **Home** and click **Projects**. Enter the **Project Number** in **Project Number** field and click **Filter**

**Note: The Project Number is the same as the Application Number.**

Or you can use the filter section to find the project if you do not have the project number



- 2 Where funding is declined by the customer, or offer of funding is withdrawn by the department, the details must be entered into the system

The system allows you to record this at two different points, before or after the agreement is initiated

#### Before the Agreement is Initiated

Hover over **Properties** and click **Initiate Agreement**

Complete details in Not Proceeding section

Click **Save**



## Projects

### 3 After the Agreement is Initiated

Hover over **Properties** and click **Agreement**

Click on **Version** name to open agreement (eg. v0)

Complete details in **Not Proceeding** section

Click **Save**

*Important: The project will be locked and no further edits can be made*

s 22

Asse - Properties - Main - Agreement

+ Filter: System Default ▼

|                          | Version ▲                                                                            | Agreement Status | Organisation | Agreement |
|--------------------------|--------------------------------------------------------------------------------------|------------------|--------------|-----------|
| <input type="checkbox"/> |  v0 | Created          | user guide   |           |

Save New  Delete Return

## Proceeding

- Once an application has been entered in eSGMS and approved, a **Project** will be created with the same number (eg. ISI12345)

Hover over **Home** and click **Project**

Enter **Application** number in **Project Number** field and click **Filter**

| Home                 | Administration                                          | Facilities |
|----------------------|---------------------------------------------------------|------------|
| ◀ Previous    Next ▶ |                                                         |            |
| Personal             | Grants Management                                       |            |
| General              | Search                                                  |            |
| My Way               | Organisations                                           |            |
| Data Quality         | Activities                                              |            |
| Organizer            | Enquiries                                               |            |
| Dashboards           | Services                                                |            |
| Portlets             | Applications                                            |            |
| Timesheets           | Bulk Assessments                                        |            |
| Reports and Jobs     | Committees                                              |            |
| Advanced Reporting   | Meetings                                                |            |
| Account Settings     | <span style="background-color: yellow;">Projects</span> |            |

## Projects

### 2 Review/Update/Enter Project Details

Complete/update the following fields in Project Details section

- CSM (if changed from Application)
- Trim File Number (if changed from Application)
- Web Reporting Description (copy and paste the Project Description – Public)
- FMIS Project Title (copy Project Title)

Click **Save** to continue

*All other fields on this page are not relevant for this program.*

Note: Fields outlined in red capture Commonwealth Grant and Rules Guidelines requirement and will be published on the internet

The screenshot shows a web application interface for 'Project Details'. The top navigation bar includes 'Properties', 'Financial Plans', 'Dashboard', 'Utilities', 'Processes', and 'Audit Trail'. The 'Project Details' section on the left contains the following fields: CSM, State Office (VIC), Monitoring Officer, Case Manager, Project Manager, TRIM File Number, Purchase Order, Natural Account Code, Related Service, Processing Centre, and Field of Research. The 'Project Summary' section on the right contains: Organisation, CSM Abbreviated Title, Project Description - Public, Project Summary, Expected Outcomes, Web Reporting Description, Project Keywords, and FMIS Project Title. The 'Web Reporting Description' and 'FMIS Project Title' fields are outlined in red. A red box labeled 's 22' is positioned near the 'Organisation' field.

## Projects

### 3 Review /Update Contact Details

Details are copied to the Project from the Application record.

If you need to enter/update contact details, hover over **Properties** and click **Contact Details**

(See guidance on [Project Contact Details](#))

Note: Full contact details are required as letters are generated from this information

| Properties ▾ | Financial Plans        |
|--------------|------------------------|
| Main         | Properties             |
| Incidents    | General                |
| Dependencies | <b>Contact Details</b> |
| Baseline     | Project Locations      |
|              | Key Personnel          |
|              | Initiate Agreement     |

### 4 Review/Update Project Location

To enter/update project location details, hover over **Properties** and click **Project Locations**

(See guidance on [Project Location](#))

Note: Projects can have multiple locations (Primary, Secondary, Additional)

| Properties ▾                 | Financial Plans          |
|------------------------------|--------------------------|
| Main                         | Properties               |
| Incidents                    | General                  |
| <a href="#">Dependencies</a> | Contact Details          |
| Baseline                     | <b>Project Locations</b> |
|                              | Key Personnel            |

## Projects

5

Enter/Update Milestones: NEI Only

To enter/update project milestones (NEI Only),  
hover over **Properties** and click **Milestones**

(See guidance on Milestones using the hyperlink  
[here](#))

| Properties ▾ | Financial Plans    | Dash |
|--------------|--------------------|------|
| <b>Main</b>  | Properties         |      |
| Incidents    | Manual R&P Version |      |
| Dependencies | R&P Versions       |      |
| Baseline     | <b>Milestones</b>  |      |
|              | Decisions          |      |
|              | Compliance         |      |
|              | Generate Documents |      |

## Create reports and payments schedule

1

Hover over **Properties** and click **Initiate Agreement**

| Properties ▾ | Financial Plans           |  |
|--------------|---------------------------|--|
| <b>Main</b>  | Properties                |  |
| Incidents    | General                   |  |
| Dependencies | Contact Details           |  |
| Baseline     | Project Locations         |  |
|              | Key Personnel             |  |
|              | <b>Initiate Agreement</b> |  |

## Projects

2

Ensure budget has been approved

Review all details in Proposed Agreement Details section and ensure they are correct.

In Reports and Payments Schedule section, enter **Schedule Date** and use tick box **Generate Report Schedule**

In Agreement Schedule section, enter **Offer Letter Sent Date**

**Important: Do NOT select Proceed to create initial Agreement? box**

Click **Save** to continue

Note: If the budget has not yet been approved, the report schedule will not be created and an error will appear in the **Report Schedule Generation Status**

Properties ▾ Financial Plans Dashboard Utilities Processes Audit Trail

Asset: s 22 Properties - Main - Initiate Agreement

Proposed Agreement Details  
s 22

Reports & Payments Schedule

☒ Schedule Date All Reports are scheduled from this commencement point. Report Schedule Generation Status Report Schedule not yet generated.

Generate Report Schedule? Requires: Initial Review Date...  
☒

Agreement Schedule

Offer Letter Sent Date  Proceed to create initial Agreement? ☐ Do NOT select at this point

Agreement Creation Status Agreement not yet generated

Save Save And Return Return

## Projects

- 3 The system generates a **Reports and Payments Schedule** based on the milestones entered in the application.

Hover over **Properties** and click **Reports and Payments (R&P)**



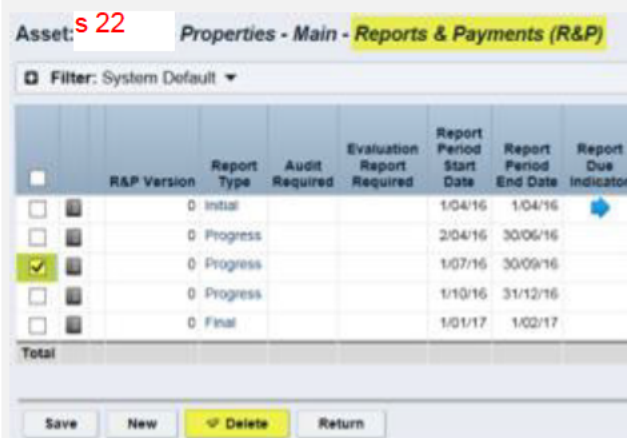
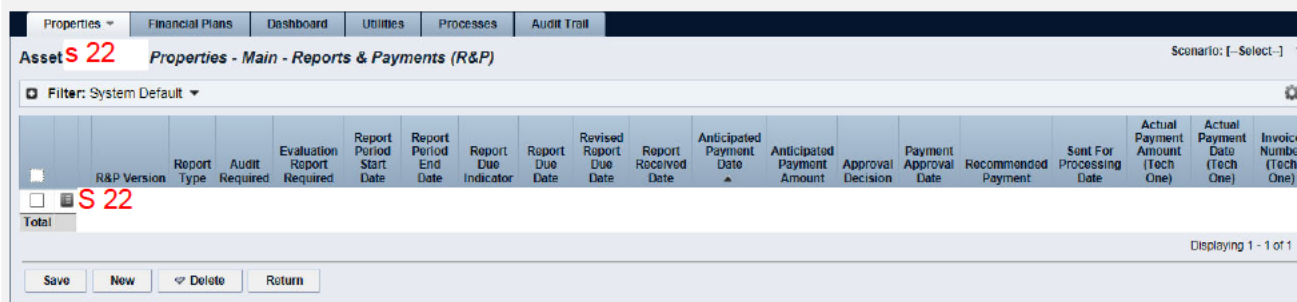
- 4 The schedule may need to be modified prior to the execution of the agreement

- The total amount scheduled to be paid in each financial year must equal the total amount in the approved budget for the corresponding financial year. The Anticipated Payment Date is used to determine which year a payment falls in.
- The total amount of the scheduled payment amounts must equal the total amount of the approved budget amount

If a report needs to be removed, use tick box next to **Report Type** and click **Delete**

An Alert will appear titled 'Do you want to delete the following Reports and Payments instances?'

Click **Delete** to confirm





## Projects

To add an additional report, proceed to Step 5

Hint: Type directly into the boxes to update any financial information

## Confirm Reports and Payments Delete

**! ALERT:** Do you want to delete the following Reports and Payments instances?

## Items to be deleted

Sep-2016

Delete

Return

5

To create an additional report, click **New**

Create Reports and Payments page will appear

Important: There can only be one **Initial** and one **Final** Report

Asset: **s 22** Properties - Main - Reports & Payments (R&P)

Filter: System Default ▼

|                          | R&P Version | Report Type | Audit Required | Evaluation Report Required | Report Period Start Date | Report Period End Date | Report Due Indicator | Report Due Date | Revised Report Due Date | Report Received Date | Anticipated Payment Date |
|--------------------------|-------------|-------------|----------------|----------------------------|--------------------------|------------------------|----------------------|-----------------|-------------------------|----------------------|--------------------------|
| <input type="checkbox"/> | 0           | Initial     |                |                            | 1/04/16                  | 1/04/16                | ➡                    | 1/04/16         |                         |                      | 1/04/16                  |
| <input type="checkbox"/> | 0           | Progress    |                |                            | 2/04/16                  | 30/06/16               |                      | 30/07/16        |                         |                      | 29/08/16                 |
| <input type="checkbox"/> | 0           | Progress    |                |                            | 1/10/16                  | 31/12/16               |                      | 30/01/17        |                         |                      | 1/03/17                  |
| <input type="checkbox"/> | 0           | Final       |                |                            | 1/01/17                  | 1/02/17                |                      | 2/05/17         |                         |                      | 1/06/17                  |
| Total                    |             |             |                |                            |                          |                        |                      |                 |                         |                      |                          |

Save New Delete Return

## Projects

6 In the General section, complete the following fields

- Report Type (Initial, Progress, Ad Hoc, Payment Reversal, Final)
- Audit Required (Is the customer required to supply an audit report?)
- Report Period Start Date
- Report Period End Date

Important:

Only keep the default option Ad Hoc if the review will have no payment associated with it.

Click **Save** to continue or **Return** to cancel

Grant Project: <sup>s 22</sup> **Create Reports and Payments**

**General**

Report Type: Ad Hoc ▼

Audit Required: No ▼

☒ Report Period Start Date:

☒ Report Period End Date:

**Save** **Save And Return** **Return**

☒ = Required

7 Check all details on the Report Schedule are correct, noting the following rules

- At least one report must show the **Audit Required** tick (this is usually the Final Report)
- **Anticipated Payment Date** is used to determine which financial year a payment will be made in
- **Anticipated Payment Amount** must be recorded against each report, ensuring

Asset: <sup>s 22</sup> **Properties - Main - Reports & Payments (R&P)**

Filter: System Default ▼

|                          | R&P Version | Report Type | Audit Required                      | Evaluation Report Required | Report Period Start Date | Report Period End Date | Report Due Indicator | Report Due Date | Revised Report Due Date | Report Received Date | Anticipated Payment Date | Anticipated Payment Amount |
|--------------------------|-------------|-------------|-------------------------------------|----------------------------|--------------------------|------------------------|----------------------|-----------------|-------------------------|----------------------|--------------------------|----------------------------|
| <input type="checkbox"/> |             | 0 Initial   |                                     |                            | 1/04/16                  | 1/04/16                | ➡                    | 1/04/16         |                         |                      | 1/04/16                  |                            |
| <input type="checkbox"/> |             | 0 Progress  |                                     |                            | 2/04/16                  | 30/06/16               |                      | 30/07/16        |                         |                      | 29/06/16                 |                            |
| <input type="checkbox"/> |             | 0 Progress  |                                     |                            | 1/10/16                  | 31/12/16               |                      | 30/01/17        |                         |                      | 1/03/17                  |                            |
| <input type="checkbox"/> |             | 0 Final     | <input checked="" type="checkbox"/> |                            | 1/01/17                  | 1/02/17                |                      | 2/05/17         |                         |                      | 1/06/17                  |                            |
| <b>Total</b>             |             |             |                                     |                            |                          |                        |                      |                 |                         |                      |                          |                            |

**Save** **New** **Delete** **Return**

<sup>s 22</sup>



## Projects

a minimum 10% retention against the Final payment

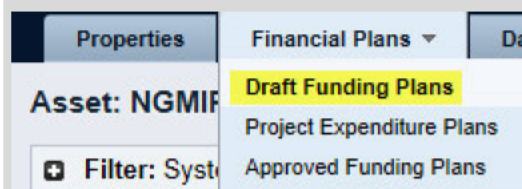
Click **Save** to continue or Return to cancel

## Amend financial plans

- 1 To enter/update funding plans, click on **Financial Plans** tab at top of page

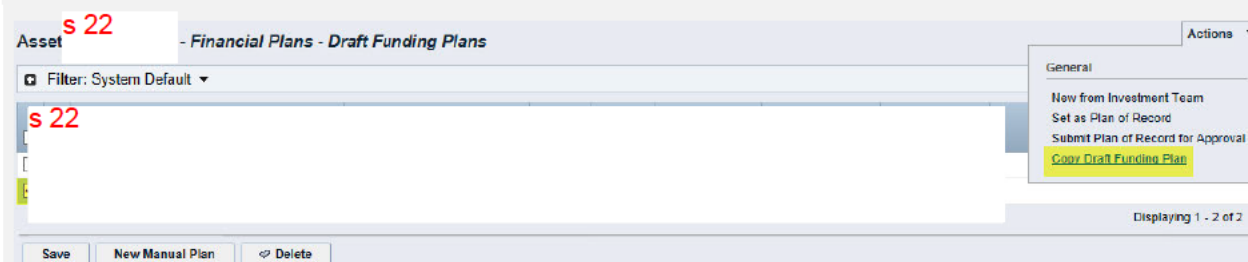
Hover over **Financial Plans** and click **Draft Funding Plans**

Hint: Use the **Utilities** tab to confirm the **Organisation Project Expenditure** matches the **Schedule Grant Pays** ([See Utilities](#))



- 2 To create a new budget plan to record new financial year splits, place a tick in the box to the left of the current financial plan.

Hover over **Actions** menu and select **Copy Draft Funding Plan**



## Projects

## 3 To record the new Financial Year split:

- Rename the new plan
- Update the start and end periods if required

Click **Save** to continue

Note: Do NOT delete any years from an existing plan. If there are no longer any funds in an existing year, reduce the funds to \$0.

Please contact AusIndustry Systems for clarification if required.

Asset: **S 22** - Copy Draft Funding Plan

| Copy Data from Source Draft Funding Plan |                                | Target Draft Funding Plan |                                        |
|------------------------------------------|--------------------------------|---------------------------|----------------------------------------|
| Source Plan Name                         | NGMIP Financial Year Splits(1) | Plan Name                 | Copy of NGMIP Financial Year Splits(1) |
| Start Period                             | 2015/16                        | Plan ID                   | <b>S 22</b>                            |
| End Period                               | 2016/17                        | Description               |                                        |
| Scale By %                               | 0%                             | Period Type               | Annually                               |
|                                          |                                | Plan Start Period         | 2015/16                                |
|                                          |                                | Plan End Period           | 2016/17                                |
|                                          |                                | Project Expenditure Plan  |                                        |
|                                          |                                | Currency                  | AUD                                    |
|                                          |                                | Grouping Attributes       | Transaction Class                      |

☒ = Required  
 ☒ = Enter Once  
 \* = Unique

## Projects

- 4 Click **Detail** tab. Amounts can be entered into relevant financial years.

Click **Save** and then **Return**

Asset: **s 22** | Draft Funding Plan: Copy of NGMIP Financial Year Splits - Draft Funding Plan Details

Show: [Investment Currency View](#) ▼

Filter: None ▼

| Transaction Class | Total Cost | 2015/16 | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 | 2022/23 | Unit, Cost and Revenue Details |
|-------------------|------------|---------|---------|---------|---------|---------|---------|---------|---------|--------------------------------|
|                   |            |         |         |         |         |         |         |         |         |                                |

s 22

Save Add Delete Return

Currency = AUD

- 5 Place a tick in the box to the left of the new plan.
- Hover over **Actions** and select **Set as Plan of Record**

Hint: if changes to the financial year caps are approved, CSMs will need to update the anticipated payments to match the approved splits.

Asset: **s 22** - Financial Plans - Draft Funding Plans

Filter: System Default ▼

|                                     | Draft Funding Plan Name ▲           | ID   | Plan of Record | Set Plan of Record | Actions                                                                                                                                       |
|-------------------------------------|-------------------------------------|------|----------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | Copy of NGMIP Financial Year Splits | s 22 |                |                    | General<br>New from Investment Team<br><a href="#">Set as Plan of Record</a><br>Submit Plan of Record for Approval<br>Copy Draft Funding Plan |
| <input type="checkbox"/>            | NGMIP Financial Year Splits         |      |                |                    |                                                                                                                                               |

Displaying 1 - 4 of 4

Save New Manual Plan Delete

- 6 To enter/update project expenditure plans, click on **Financial Plans** tab at top of page
- Hover over **Financial Plans** and click **Project Expenditure Plans**

Properties Financial Plans ▼ Da

Asset: NGMIP

Filter: System Default ▼

- Draft Funding Plans
- Project Expenditure Plans**
- Approved Funding Plans

## Projects

- 7 To create a new expenditure plan, place a tick in the box to the left of the current expenditure plan.

Hover over **Actions** menu and select **Copy Project Expenditure Plan**

Properties Financial Plans Dashboard Utilities Processes Audit Trail

Asset: s 22 Financial Plans - Project Expenditure Plans

Filter: System Default

|                                     | Name                     | Active | Start   | Finish  | Total Project Expenditure | Created Date |
|-------------------------------------|--------------------------|--------|---------|---------|---------------------------|--------------|
| <input checked="" type="checkbox"/> | Project Expenditure Plan | ✓      | 2011/12 | 2019/20 | s 22                      | 4/08/15      |

Displaying 1 - 1 of 1

Save New Delete

- 8 To record the new Expenditure Plan:
- Rename the new plan
  - Update the start and end periods if required

Click the **'Save'** button to continue

Copy Project Expenditure Plan

Copy Data from Source Project Expenditure Plan Target Benefit Plan

Source Plan Name Project Expenditure Plan

Start Period 2011/12

End Period 2019/20

Scale By % 0%

Plan Name Copy of Project Expenditure Plan

Plan ID s 22

Period Type Annually

Plan Start Period 2011/12

Plan End Period 2019/20

Save Save and Return Return

Required Enter Once Unique

9 Update the plan Version Number and click **Save**

Asset: **s 22** | Project Expenditure Plan: Copy of Project Expenditure Plan - *Project Expenditure*

**General** \*

☒ Plan Name: Copy of Project Expenditure Plan x
 Total Project Expenditure: **s 22**

☒ ☐ Period Type: Annually
 Version Number: [--Select--] v

☒ Plan Start Period: 2011/12 x H

☒ Plan End Period: 2019/20 x H

Active ☒

Save
Save and Return
Return

☒ = Required
 ☐ = Enter Once

- 10 Click on **Detail** tab and input plan expenditure into relevant financial years
- Click **Save**
- Click **Return**

Properties

Detail

Processes

Asset: NGMIP46153 | Project Expenditure Plan: Copy of Project Expenditure Plan - *Project Expenditure*

Filter: System Default

|                             |            |             |  | Annual Expenditure Details |         |         |         |         |         |         |         |
|-----------------------------|------------|-------------|--|----------------------------|---------|---------|---------|---------|---------|---------|---------|
|                             | Sort Order | Expenditure |  | 2015/16                    | 2016/17 | 2017/18 | 2018/19 | 2019/20 | 2020/21 | 2021/22 | 2022/23 |
| <div>Total of Actuals</div> |            |             |  |                            |         |         |         |         |         |         |         |

Save

Add

Delete

Return

## Projects

11 Previous expenditure plans must be set to inactive.

Change the value of the previous plan in the **Active** column to **No**

Click **Save**

Asset: **s 22** - Financial Plans - Project Expenditure Plans

Filter: System Default ▼

|                          | Name ▲                           | Active | Start   | Finish  | Total Project Expenditure |
|--------------------------|----------------------------------|--------|---------|---------|---------------------------|
| <input type="checkbox"/> | Copy of Project Expenditure Plan | ✓      | 2011/12 | 2019/20 | <b>s 22</b>               |
| <input type="checkbox"/> | Project Expenditure Plan         | ✓      | 2011/12 | 2019/20 |                           |

Save New Delete

## Projects

## Utilities

- 1 Click on **Utilities** tab at top of page to view the Grant Project Budget Comparison

This page shows a comparison between the **Approved Financial Year Caps** and the **Reporting Schedule Financial Year Caps** (as entered in the Reports and Payments Schedule)

Discrepancies are displayed in red in the Anticipated/ Budgeted Difference column

If a positive amount is displayed, you need to *add* that amount to the report schedule. A negative amount indicates you need to *remove* that amount from the report schedule

To address any discrepancies, amend in Reports and Payments schedule (See [Reports and Payments](#)), or complete a Purchase Order Amendment (POA)

Important: Approved FY Caps must match Reporting Schedule FY Caps before the agreement can be initiated/payments can be made

Properties

Financial Plans

Dashboard

Utilities

Processes

Audit Trail

Asset:

s 22

Utilities

Grant Project Budget Comparison

| Financial Year | Report Count | Approved FY Caps | Reporting Schedule FY Caps | Anticipated / Budgeted Difference |
|----------------|--------------|------------------|----------------------------|-----------------------------------|
| 2015/16        | 1            | s 22             |                            |                                   |
| 2016/17        | 3            |                  |                            |                                   |
| Totals         | 4            |                  |                            |                                   |

Displaying 1 - 2 of 2

Grant Project Details

| Project | Agreed Project Start Date | Agreed Project End Date |
|---------|---------------------------|-------------------------|
|---------|---------------------------|-------------------------|



## Agreement - execute

## Agreements

## Agreement - initiate

- 1 Before an agreement can be initiated, all items on the Initiate Agreement Checklist must be complete

Click **Dashboard** at the top of the page to view your progress

The Initiate Agreement Checklist displays a list of all the mandatory items and shows whether they are completed (Yes), or incomplete (No)

Click on the name of any checklist item to take you to the applicable page where the information is captured

Asset: <sup>s 22</sup> - Dashboard

| Initiate Agreement Checklist                                                 |     |     |                 |
|------------------------------------------------------------------------------|-----|-----|-----------------|
| Item Checked                                                                 | Yes | No▲ | Info.           |
| Proposed project term within Approved Project term?                          | ✓   |     | <sup>s 22</sup> |
| Project Description Public Entered?                                          | ✓   |     |                 |
| Approved Budget <= Grant Amount?                                             | ✓   |     |                 |
| Approved Budget/Project Expenditure is not greater than the Approved Grant % | ✓   |     |                 |
| Sum of Anticipated Payments = Approved Budget?                               | ✓   |     |                 |
| At least one Audit report exists?                                            | ✓   |     |                 |
| Milestone Schedule Exists?                                                   | ✓   |     |                 |
| Offer Letter Sent Date Entered?                                              | ✓   |     |                 |

Displaying 1 - 8 of 8

- 2 Hover over Properties and click **Initiate Agreement**

In the Agreement Schedule section, enter the **Offer Letter Sent Date**

Click tick box next to **Proceed to create initial Agreement?**

Click **Save**

Properties ▾ Financial Plans Dashboard Utilities Processes Audit Trail

Asset: <sup>s 22</sup> Properties - Main - Initiate Agreement

Agreement Schedule

Offer Letter Sent Date: 1/03/2016

Proceed to create initial Agreement? ☒ This screen is only required to set up Agreement Version 0

Agreement Creation Status Agreement not yet generated

Save Save And Return Return

## Agreement - execute

Note: **Initiate Agreement** link will be removed and replaced by the new menu item titled **Agreement**

## Agreement - issue

- 1 Hover over **Properties** and select **Agreement**

| Properties ▾ | Financial Plans   |
|--------------|-------------------|
| Main         | Properties        |
| Incidents    | General           |
| Dependencies | Contact Details   |
| Baseline     | Project Locations |
|              | Key Personnel     |
|              | <b>Agreement</b>  |

- 2 Click on the latest **Version** of the Agreement to view the properties

Note: Version numbers start at **v0**

Asset: s 22 **Properties - Main - Agreement**

Filter: System Default ▾

|                          | Version▲ | Agreement Status | Organisation | Agre |
|--------------------------|----------|------------------|--------------|------|
| <input type="checkbox"/> | v0       | Created          | s 22         |      |

Save New Delete Return

## Agreement - execute

- 3 If there are changes required to the schedule information, click **Return**.
- After changes are completed and saved, return to the agreement **Properties** page.
- Hover over **Properties** menu and click **Rebuild**.
- Check the box **Regenerate Agreement?** Click **Save And Return**. This incorporates the changes into the agreement.

Properties ▾ Processes

General

Update Project Marketing Description

Extend Agreement Due Date

**Rebuild**

Reports & Payments Snapshot

Project Collaborators Snapshot

Generate Documents

**Regenerate This Agreement?**

Regenerate Agreement? ☒ Ticking this checkbox will rebuild this Agreement information once saved. This option is not available if Agreement is Executed, Declined or Withdrawn.

Save Save And Return Return

- 4 To review the Project Marketing description, hover over **Properties** and select **Update Project Marketing Description**
- Enter the updated Project Marketing in this field and click **Save And Return**

Properties ▾ Processes Audit

General

**Update Project Marketing Description**

Extend Agreement Due Date

Rebuild

Reports & Payments Snapshot

Project Collaborators Snapshot

Generate Documents

## Agreement - execute

## Update Project Marketing Description

Project Marketing  
Description

Save

Save And Return

Return

## Agreement - execute

- 5 Review and update all Agreement Properties details as required, in line with the program guidelines for this project

Complete the following fields in the Proposed Agreed Details section (if applicable)

- Rate of Interest
- Use of RCTIs Agreed (Yes or No) - mandatory
- General Conditions
- Particular Conditions
- Project Summary
- Expected Outcomes

Click **Save** to continue

Note: If Dashboard items are incomplete, Agreement Status will display an Issue Failure notification

| Issue and Execute                                                                                                              |                                                                                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| Agreement Due Date                                                                                                             | 16/12/2015                                                                                                                       |
| Agreement Issued Date                                                                                                          | ( Save and refresh to confirm issue status )                                                                                     |
| Conditions Met                                                                                                                 |                                                                                                                                  |
| <input checked="" type="checkbox"/> Agreement Status Created                                                                   |                                                                                                                                  |
| Proposed Agreed Details                                                                                                        |                                                                                                                                  |
| Proposed Agreed Grant Amount                                                                                                   | s 22                                                                                                                             |
| Proposed Agreed Grant %                                                                                                        | 25.00%                                                                                                                           |
| <input checked="" type="checkbox"/> Proposed Agreed Project Start Date                                                         | 1/12/2015                                                                                                                        |
| <input checked="" type="checkbox"/> Proposed Agreed Project Finish Date                                                        | 30/06/2016<br>( Changes to dates (if any) will require matching changes to Report/Payment Schedules plus Annual Capped Amounts ) |
| Rate of Interest                                                                                                               |                                                                                                                                  |
| Use of RCTIs Agreed                                                                                                            | [--Select--]                                                                                                                     |
| General Conditions                                                                                                             | [--Select--]                                                                                                                     |
| Particular Conditions                                                                                                          | [--Select--]                                                                                                                     |
| Agreed Project Description and Planned Outcomes<br>Project Summary OK<br>Expected Outcomes OK                                  |                                                                                                                                  |
| Previous Agreement                                                                                                             |                                                                                                                                  |
| General                                                                                                                        |                                                                                                                                  |
| <input checked="" type="checkbox"/> Agreement Version                                                                          | v0                                                                                                                               |
| Project Title                                                                                                                  | Demo A                                                                                                                           |
| Project Marketing Description                                                                                                  | Demo A                                                                                                                           |
| <input checked="" type="checkbox"/> Project Expenditure Version                                                                | v                                                                                                                                |
| <input checked="" type="checkbox"/> Budget Version                                                                             | s 22 Year Splits 2 Plan Revision 1                                                                                               |
| <input checked="" type="checkbox"/> Organisation                                                                               | s 22                                                                                                                             |
| Creditor Code                                                                                                                  |                                                                                                                                  |
| Approved Grant %                                                                                                               | 25.00%                                                                                                                           |
| Approved Grant Amount                                                                                                          | s 22                                                                                                                             |
| Approved Project Start Date                                                                                                    | 1/12/2015                                                                                                                        |
| Approved Project End Date                                                                                                      | 30/06/2016                                                                                                                       |
| Is Novation?                                                                                                                   | <input type="checkbox"/>                                                                                                         |
| Offer Letter Sent Date                                                                                                         | 16/12/2015                                                                                                                       |
| <input checked="" type="checkbox"/> Agreement Status Issue Failure: Incomplete checklist, please see Dashboard tab for details |                                                                                                                                  |

## Agreement - execute

## 6 Enter the date the Agreement was issued.

Note: The Issue Date in the system must be the day the Agreement and covering letter was posted, emailed or handed to the Customer.

If any Pre-Conditions were imposed by the delegate, enter the date that these conditions were met.

Click save and the agreement will become read only

**Issue and Execute**

Agreement Due Date 28/01/2016  Agreement Status Created

Agreement Issued Date   
( Save and refresh to confirm Issue status )

Conditions Met 

Save Save And Return Return

7 Agreement Status will show as **Issued**

Agreement will now be locked and display a padlock

| <input type="checkbox"/> | Version▲                                                                               | Agreement Status | Organisation |
|--------------------------|----------------------------------------------------------------------------------------|------------------|--------------|
| <input type="checkbox"/> |  v0 | Issued           | s 22         |

Save New  Delete Return

8 To extend the agreement due date hover over **Properties** and select **Extend Agreement Due Date**

| Properties ▼                         | Processes | Audit |
|--------------------------------------|-----------|-------|
| General                              |           |       |
| Update Project Marketing Description |           |       |
| Extend Agreement Due Date            |           |       |
| Rebuild                              |           |       |
| Reports & Payments Snapshot          |           |       |
| Project Collaborators Snapshot       |           |       |
| Generate Documents                   |           |       |



## Agreement - execute

9 Click **New** and enter the following details:

- Number of date the agreement due date has been extended
- Reason for extension
- Who the extension was approved by

Click **Save And Return**

Note: additional extensions can be recorded by repeating this step

The screenshot shows the 'General' tab of a form for extending an agreement. It includes a red asterisk icon in the top right corner. The form has two main sections: 'Extend Agreement Due Date By' and 'Reason for Extension'. The 'Extend Agreement Due Date By' section has a text input field for the date and a dropdown menu for the number of days. The 'Reason for Extension' section has a large text area. Below these sections are three buttons: 'Save', 'Save And Return' (highlighted in yellow), and 'Return'. A legend at the bottom indicates that a red asterisk means 'Required'.

10 The agreement can be unissued prior to execution if required.

To Un-issue an agreement, hover over **Properties** menu and click **Un-issue or Execute**.

Place a tick in the checkbox 'Un-issue Agreement' and click **Save**.

Important: Do **NOT** enter a date in the **Agreement Executed On** field

The screenshot shows the agreement management interface. At the top, there are two tabs: 'Properties' (selected) and 'Processes'. Under 'Properties', there is a list of actions: 'Issued (Read-Only)', 'Extend Agreement Due Date', 'Un-Issue or Execute' (highlighted in yellow), 'Reports & Payments Snapshot', 'Milestone Schedule Snapshot', and 'Generate Documents'. Below this is the 'General' tab of the form. It includes a text input field for 'Agreement Executed On' with a calendar icon. A note below the field states: '( Enter Date to 'Execute' the Agreement. Note: agreement will not execute if checklist on Project Dashboard fails on any item and this date will be reset to null. )'. There is a checkbox for 'Un-Issue Agreement?' which is currently unchecked. At the bottom are three buttons: 'Save', 'Save And Return' (highlighted in yellow), and 'Return'. A legend at the bottom indicates that a green square means 'Enter Once'.



## Agreement - execute

## Agreement - execute

- 1 Hover over **Properties** and select **Agreement**

| Properties ▾ | Financial Plans   |
|--------------|-------------------|
| Main         | Properties        |
| Incidents    | General           |
| Dependencies | Contact Details   |
| Baseline     | Project Locations |
|              | Key Personnel     |
|              | <b>Agreement</b>  |

- 2 Click on the latest **Version** of the Agreement to view the properties

Note: Version numbers start at v0

Asset: <sup>s 22</sup> - Properties - Main - Agreement Scenario: [--Select--] ▾

Filter: System Default ▾

| <input type="checkbox"/> | Version ▲     | Agreement Status | Organisation    | Agreement Issued Date | Agreement Executed On | Agreed Project Grant Amount | Agreed Project Start Date | Agreed Project End Date |
|--------------------------|---------------|------------------|-----------------|-----------------------|-----------------------|-----------------------------|---------------------------|-------------------------|
| <input type="checkbox"/> | new agreement | Issued           | <sup>s 22</sup> | 24/03/16              |                       |                             |                           |                         |

Displaying 1 - 2 of 2

Save New Delete Return

- 3 Hover over **Properties** and click **Un-Issue or Execute**

| Properties ▾                | Processes |
|-----------------------------|-----------|
| Issued (Read-Only)          |           |
| Extend Agreement Due Date   |           |
| <b>Un-Issue or Execute</b>  |           |
| Reports & Payments Snapshot |           |
| Milestone Schedule Snapshot |           |
| Generate Documents          |           |

## Agreement - execute

- 4 Enter the date the delegate has signed the agreement in **Agreement Executed On** field

Click **Save and Return**

The **padlock symbol** indicates the agreement is Read-only.

**Agreement Status** will update to **Executed**. The status of the project will update to **Progress**

Note: If this does not display press F5 to refresh. If either status does not update with the expected result contact [AusIndustry Systems](#)

Grant Project: **s 22** Agreement: new agreement - *Agreement Properties*

**General**

**Agreement Executed On**  ( Enter Date to 'Execute' the Agreement. Note: agreement will not execute if checklist on Project Dashboard fails on any item and this date will be reset to null. )

Un-Issue Agreement? ☐

 = Enter Once

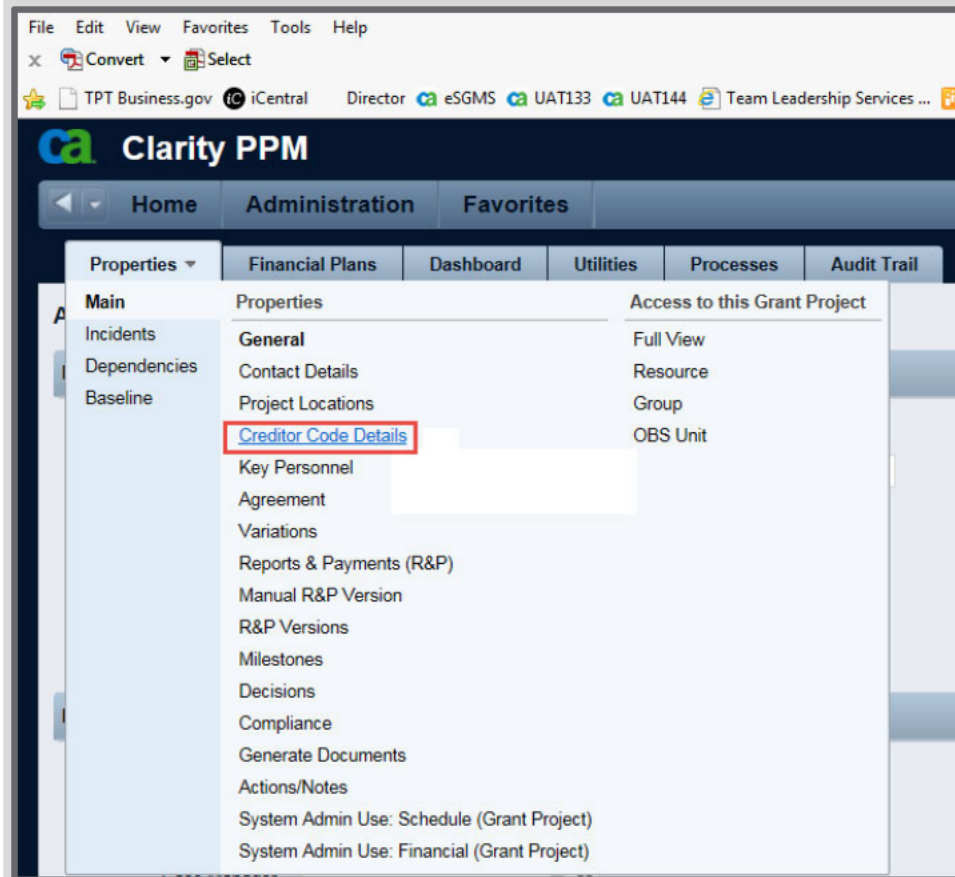
|                          | Version▲                                                                               | Agreement Status | Organisation |
|--------------------------|----------------------------------------------------------------------------------------|------------------|--------------|
| <input type="checkbox"/> |  v0 | Executed         | <b>s 22</b>  |

## Creditor Code and Purchase Order Number

### Add Creditor Code and Purchase Order Number

- 1 Hover mouse cursor over **Properties** and select **Creditor Code Details**

The **Properties – Main – Creditor Code Details** Page is presented



## Creditor Code and Purchase Order Number

2 Click on the **New Button**

The **Create Grant Project Creditor Code Details** page is presented

Properties ▾ Financial Plans Dashboard Utilities Processes Audit Trail

Asset: s 22 Properties - Main - Creditor Code Details Scenario: [--Select--]

Filter: System Default ▾

|                          | Organisation | Creditor Code | Purchase Order | Active?                             |
|--------------------------|--------------|---------------|----------------|-------------------------------------|
| <input type="checkbox"/> |              |               |                | <input checked="" type="checkbox"/> |

Save New Delete Return

3 Select the Organisation using the binoculars next to the **Organisation**

Search for the required Organisation and click **Add** to complete

Enter the **Creditor Code** and/or the **Purchase Order Number**

Note: You can return later to update either field if the Code or Number is not yet known

Click **Save** to Remain on the page or **Save and Return** to save the page and return to the **Creditor Code Details** page

Home Administration Favorites

Grant Project: s 22 Create Grant Project Creditor Code Details

General

Organisation

Creditor Code

Purchase Order

Status Message For an approved 'Deed of Novation', please enter the novated creditor code and purchase order number

Save Save And Return Return

☒ = Required ☐ = Enter Once

## Reports and Payments

### Reports and payments (NEI Only)

- 1 Payments can be made after the agreement is executed and Purchase Order Number is recorded  
  
Hover over **Properties** and click **Reports & Payments (R&P)**



- 2 Click required **Report Type** name (e.g. *Initial*)

|                          |  |  | R&P Version | Report Type | Audit Required | Evaluation Report Required | Report Period Start Date | Report Period End Date |
|--------------------------|--|--|-------------|-------------|----------------|----------------------------|--------------------------|------------------------|
| <input type="checkbox"/> |  |  | 4           | Initial     |                |                            | 2/04/16                  | 2/04/16                |
| <input type="checkbox"/> |  |  | 4           | Progress    |                |                            | 2/04/16                  | 27/11/16               |
| <input type="checkbox"/> |  |  | 4           | Progress    |                |                            | 30/11/16                 | 30/04/17               |
| <input type="checkbox"/> |  |  | 4           | Progress    |                |                            | 1/05/17                  | 30/06/17               |
| <input type="checkbox"/> |  |  | 4           | Progress    |                |                            | 1/07/17                  | 31/08/17               |
| <input type="checkbox"/> |  |  | 4           | Final       | ✓              |                            | 1/09/17                  | 30/09/17               |
| Total                    |  |  |             |             |                |                            |                          |                        |

## Reports and Payments

In Receipt Details section, complete the following

- Report Received Date
- Report Accepted Date

Enter Audit Report Received Date (if required)

Click **Save** to continue

| Receipt Details                         |                                        |
|-----------------------------------------|----------------------------------------|
| <b>Report Received Date</b>             | Date Report physically received.       |
| <b>Report Accepted Date</b>             | When the Report is adequate for Review |
| <b>Report Period Start Date</b>         | 30/11/2016                             |
| <b>Report Period End Date</b>           | 30/04/2017                             |
| General                                 |                                        |
| <b>Report Type</b>                      | Progress                               |
| <b>Report Due Date</b>                  | 28/07/2016                             |
| <b>Revised Report Due Date</b>          | 28/05/2017                             |
| <b>Audit Required</b>                   | No                                     |
| <b>Audit Report Received Date</b>       |                                        |
| <b>Evaluation Report Required</b>       |                                        |
| <b>Evaluation Report Completed Date</b> |                                        |
| Applicable Grant Activities             |                                        |
| <b>Project Grant Activities</b>         |                                        |
| <b>Save</b>                             | <b>Save And Return</b> <b>Return</b>   |
| = Required                              |                                        |

3

Hover over **Properties** and click **Report Review & Pay (Arrears)**

| Properties                                | Processes |
|-------------------------------------------|-----------|
| General                                   |           |
| <b>Report Review &amp; Pay (Arrears.)</b> |           |
| Generate Documents                        |           |
| Reports and Payments Attachment List      |           |



## Reports and Payments

Complete Calculate Payment in Arrears section

### 2. Amendment to previous actual expenditure -

Only used when customer has advised that expenditure previously claimed needs to be amended (this is typically as the result of a financial audit)

### 3. Actual Expenditure for Current Period – The reported eligible expenditure for current period

**11. Adjustment of Potential Payment\*** - Only used when CSM identifies the potential payment amount will exceed available funds (e.g. eligible expenditure on the last progress review calculated an amount greater than the recommended payment, however the amount paid to the recipient would need to be reduced to allow for the retention payment on the final review) *\*If this field is entered use **Amendment Comments** and **Payment Calculation Comments** to record details*

**12. Recommended Payment** - Only displays after review details have been entered and the page has been saved

Important: Before the review can be completed, **Recommended Payment** and **Anticipated Payment** must match. If they do not match, amend the anticipated payment amount.

To do this it is best to exit the review and adjust the amount on the report schedule, as other reviews will need to be updated to ensure either report schedule caps, match the approved financial year caps. For further details, see Report Schedule

| General                                                   |        |                                                              |            |
|-----------------------------------------------------------|--------|--------------------------------------------------------------|------------|
| <input checked="" type="checkbox"/> Applicable Grant %    | 50.00% | <input checked="" type="checkbox"/> Report Period Start Date | 30/01/2015 |
| Grant Amount \$                                           | S 22   | <input checked="" type="checkbox"/> Report Period End Date   | 31/12/2015 |
| Payment in Advance?                                       | No     |                                                              |            |
| Organisation                                              | S 22   |                                                              |            |
| Calculate Payment in Arrears                              |        |                                                              |            |
| 1. Actual Expenditure Prior to [Previous Report End Date] | 0.00   | 10. Potential Payment Amount                                 | 0.00       |
| ( Will increment as each report is processed )            |        |                                                              |            |
| 2. Amendment to previous actual expenditure               |        | 11. Adjustment of Potential Payment                          | 0.00       |
| 3. Actual Expenditure for Current Period                  | 0.00   |                                                              |            |
| 4. Total actual expenditure to date (1+2+3)               | 0.00   | 12. Recommended Payment                                      | 0.00       |
| 5. Grant Entitlement                                      | 0.00   |                                                              |            |
| 6. Payments Made to Date                                  | 0.00   | Anticipated Payment Amount \$                                | S 22       |
| ( Will increment as each report is processed )            |        |                                                              |            |
| 7. Amount Due (+) / Amount in Advance (-)                 | 0.00   |                                                              |            |
| Comments                                                  |        |                                                              |            |
| Amendment Comments                                        |        | Payment Calculation Comments                                 |            |



## Reports and Payments

### Reports and payments (EIR Only)

- 1 Payments can be made after the agreement is executed and Purchase Order Number is recorded  
  
Hover over **Properties** and click **Reports & Payments (R&P)**

| Properties ▾ | Financial Plans                         | Dashb |
|--------------|-----------------------------------------|-------|
| Main         | Properties                              |       |
| Incidents    | General                                 |       |
| Dependencies | Contact Details                         |       |
| Baseline     | Project Locations                       |       |
|              | Variations                              |       |
|              | <b>Reports &amp; Payments (R&amp;P)</b> |       |

- 2 Click required **Report Type** name (*e.g. Initial*)

| <input type="checkbox"/> |  | R&P Version | Report Type | Audit Required | Evaluation Report Required | Report Period Start Date | Report Period End Date | Report Due Indicator | Report Due Date |
|--------------------------|--|-------------|-------------|----------------|----------------------------|--------------------------|------------------------|----------------------|-----------------|
| <input type="checkbox"/> |  | 3           | Progress    |                |                            | 1/07/16                  | 31/07/16               | ✓                    | 28/08/16        |
| <input type="checkbox"/> |  | 3           | Progress    | ✓              |                            | 1/08/16                  | 31/08/16               | ✓                    | 28/09/16        |
| Total                    |  |             |             |                |                            |                          |                        |                      |                 |

## Reports and Payments

In Receipt Details section, complete the following

- Report Received Date
- Report Accepted Date

In General section, Enter Audit Report Received Date (if required)

Click **Save** to continue

**Receipt Details**

**Report Received Date** Date Report physically received.

**Report Accepted Date** When the Report is adequate for Review

☒ Report Period Start Date 30/11/2016

☒ Report Period End Date 30/04/2017

**General**

Report Type Progress

Report Due Date 28/07/2016

Revised Report Due Date 28/05/2017

Audit Required No

**Audit Report Received Date**

Evaluation Report Required

Evaluation Report Completed Date

**Applicable Grant Activities**

Project Grant Activities

**Save** **Save And Return** **Return**

☒ = Required

Project Title Project Title

Grant Amount \$ **s 22**

- 3 Hover over **Properties** and click **Report Review & Pay**

**Properties** **Processes** **Audit**

**General**

**Report Review & Pay**

Generate Documents

Reports and Payments Attachment List

## Reports and Payments

Complete Payment section

Enter the **Recommended Payment Amount**

Enter **Payment Calculation Comments** (if applicable)

Complete following fields in Review Details section

Select **Project Progress**

Select **Risk Rating**

**Important:** Before the review can be completed, **Recommended Payment** and **Anticipated Payment** must match. If they do not match, amend the anticipated payment amount.

To do this it is best to exit the review and adjust the amount on the report schedule, as other reviews will need to be updated to ensure either report schedule caps, match the approved financial year caps. For further details, see Report Schedule

## Reports and Payments

### Review and approve

#### 1 Complete the following fields in Review Details section

- Review Activity
- Project Progress (mandatory field)
- Review Comments
- Post-conditions Reviewed (if applicable)
- Milestones Reviewed
- Risk Rating (mandatory field)
- Risk Rating Comments
- Conditions Met (if applicable)

Note: If Project Progress = **Just OK** or **Poor** and the Risk Rating is anything other than Low, **Risk Rating Comments** are required

#### Review Details

|                           |                                                                                                          |                      |                          |
|---------------------------|----------------------------------------------------------------------------------------------------------|----------------------|--------------------------|
| Review Activity           | --Select--                                                                                               | Risk Rating          | --Select--               |
| Project Progress (AusInd) | --Select--                                                                                               | Risk Rating Comments |                          |
| Review Comments           | <div></div>                                                                                              |                      |                          |
| Post-Conditions           | Department to check applicant's ability to secure adequate debt facilities prior to acceptance of offer. |                      |                          |
| Post-conditions Reviewed  | --Select--                                                                                               | Re-Open Review       | <input type="checkbox"/> |
| Milestones Reviewed       | --Select--                                                                                               | Conditions Met       | <input type="checkbox"/> |

#### 2 In Approvals section

- Use dropdown box next to Review Completed By to select CSM name
- Tick the Review Complete box

Click **Save**

The review will now be locked

Hint: Press F5 after saving to check all fields are locked. If fields are unlocked review the error in Review Status field

#### Approvals

|                                                                                                                                                                               |                          |                                   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|-----------------------------------|
| Review Status                                                                                                                                                                 | Review not complete      | Approval Decision                 |
| Review Completed By                                                                                                                                                           | --Select--               | Payment Approval Decision Made By |
| Review Complete                                                                                                                                                               | <input type="checkbox"/> | Approval Status                   |
| <input type="checkbox"/> Review Accepted<br><input checked="" type="checkbox"/> = Required <input type="checkbox"/> = Enter Once <input type="checkbox"/> = Locked by Process |                          |                                   |
| Save                                                                                                                                                                          | Save And Return          | Return                            |

## Reports and Payments

- 3 Once Review has been completed, the delegate with approval rights should go to the Approvals section

Use the dropdown next to **Review Accepted** and select the delegate name

Click **Save**

**Approvals**

Review Status: Review not complete

Review Completed By: [--Select--]

Review Complete: ☐

Review Accepted:

Legend: ★ = Required ■ = Enter Once ● = Locked by Process

Buttons: **Save** **Save And Return** **Return**

- 4 The delegate must also complete the following fields

- Approval Decision = Approve
- Payment Approval Decision Made By = delegate name

Click **Save**

**Note:** **Payment Approval Decision Made By** user must be *different* to the **Review Completed By** user, however it can be the same as the **Review Accepted** user

**Approvals**

Review Status: Review Accepted - Ready for approval.

Review Completed By: s 22

Review Complete: ☒

Review Accepted: s 22

Legend: ★ = Required ■ = Enter Once ● = Locked by Process

Buttons: **Save** **Save And Return** **Return**

## Update the reporting schedule

- ## Reports & Payments table

| Properties   | Financial Plans                         | Dashb |
|--------------|-----------------------------------------|-------|
| <b>Main</b>  | Properties                              |       |
| Incidents    | General                                 |       |
| Dependencies | Contact Details                         |       |
| Baseline     | Project Locations                       |       |
|              | Variations                              |       |
|              | <b>Reports &amp; Payments (R&amp;P)</b> |       |

- Note: The Reporting Schedule FY Caps use the Anticipated Payment date to determine the financial year in which a payment is allocated. You must ensure the Approved FY Caps match the Reporting Schedule FY Caps**

Use the **Utilities** tab to confirm these amounts match ([See Utilities](#))

|                          |  |  | R&P Version | Report Type | Audit Required | Evaluation Report Required | Report Period Start Date | Report Period End Date | Report Due Indicator | Report Due Date | Revised Report Due Date | Report Received Date | Anticipated Payment Date | Anticipated Payment Amount |
|--------------------------|--|--|-------------|-------------|----------------|----------------------------|--------------------------|------------------------|----------------------|-----------------|-------------------------|----------------------|--------------------------|----------------------------|
| <input type="checkbox"/> |  |  |             | 3 Initial   |                |                            | 30/01/15                 | 30/01/15               | ✓                    | 30/01/15        |                         | 9/10/15              | 30/01/15                 | s 22                       |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 30/01/15                 | 31/12/15               | ✓                    | 28/01/16        |                         | 29/03/16             | 27/02/16                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 1/01/16                  | 30/06/16               |                      | 28/07/16        |                         |                      | 27/08/16                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 1/07/16                  | 31/12/16               |                      | 28/01/17        |                         |                      | 27/02/17                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 1/01/17                  | 28/02/17               |                      | 28/03/17        |                         |                      | 27/04/17                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 1/03/17                  | 30/06/17               |                      | 28/07/17        |                         |                      | 27/08/17                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Progress  |                |                            | 1/07/17                  | 31/10/17               |                      | 28/11/17        |                         |                      | 28/12/17                 |                            |
| <input type="checkbox"/> |  |  |             | 3 Final     | ✓              |                            | 1/11/17                  | 29/01/18               |                      | 29/04/18        |                         |                      | 29/05/18                 |                            |
| Total                    |  |  |             |             |                |                            |                          |                        |                      |                 |                         |                      |                          |                            |

Save

New

Delete

Return



## Reports and Payments

### Re-open a review

- 1 You will need to re-open a review if it needs to be modified or an error needs to be fixed

Hover over **Properties** and click **Reports & Payments (R&P)**

Click required **Report Type** (e.g. *Initial*)

| <input type="checkbox"/> |  | R&P Version | Report Type | Audit Required | Evaluation Report Required | Report Period Start Date | Report Period End Date | Report Due Indicator | Report Due Date | Revised Report Due Date | Report Received Date |
|--------------------------|--|-------------|-------------|----------------|----------------------------|--------------------------|------------------------|----------------------|-----------------|-------------------------|----------------------|
| <input type="checkbox"/> |  | 3           | Initial     |                |                            | 30/01/15                 | 30/01/15               | ✓                    | 30/01/15        |                         | 9/10/15              |
| <input type="checkbox"/> |  | 3           | Progress    |                |                            | 30/01/15                 | 31/12/15               | ✓                    | 28/01/16        |                         | 29/03/16             |
| <input type="checkbox"/> |  | 3           | Progress    |                |                            | 1/01/16                  | 30/06/16               |                      | 28/07/16        |                         |                      |
| <input type="checkbox"/> |  | 3           | Final       | ✓              |                            | 1/11/17                  | 29/01/18               |                      | 29/04/18        |                         |                      |
| Total                    |  |             |             |                |                            |                          |                        |                      |                 |                         |                      |

- 2 Hover over **Properties** and click **Report Review & Pay (Arrears)**

**Properties** ▾ Processes A

General

**Report Review & Pay (Arrears.)**

Generate Documents

Reports and Payments Attachment List

- 3 In **Review Details** section, use tick box **Re-Open Review**

Click **Save**

Note: The review can be re-opened at any point before the payment has been approved

**Review Details**

☒ Review Activity Visit ▾ ☒ Risk Rating Low ▾

Project Progress (AusInd) [--Select--] ▾ Risk Rating Comments

Review Comments

Post-Conditions Department to check applicant's ability to secure adequate debt facilities prior to acceptance of offer.

Post-conditions Reviewed [--Select--] ▾ Re-Open Review ☐

Milestones Reviewed [--Select--] ▾ Conditions Met

**Save** **Save And Return** **Return**



## Reports and Payments

### Generate claim for payment form

- 1 Once Review has been accepted and Payment has been approved, you can generate the claim for payment form

Hover over **Properties** and click **Reports & Payments (R&P)**

Click required **Report Type** (e.g. *Initial*)

Hover over **Properties** and click **Generate Documents**

Properties ▾ Processes Au

General

Report Review & Pay (Arrears.)

**Generate Documents**

Reports and Payments Attachment List

- 2 Click **New** and on the next page click **Save** (this page is to create the merge record before you select the template.) You do not need to enter any details – just press Save to continue.

Grant Project **s 22** | Reports and Payments: **s 22** - Reports and Payments Properties

There are no items to display

New Return

Grant Project **s 22** | Reports and Payments **s 22** - Create Report and Payment Merged Documents

General

Name Click [Save] to Continue please... x

Save Save And Return Return

■ = Required

- 3 Select required document from dropdown next to **Which Template?**

Click **Save And Return**

General

Which Template? [--Select--] NGMIP - Claim For Payment

Content is not visible, please refresh the page )

Created By **s 22**

Created Date 29/03/2016

Save Save And Return Return

■ = Required ■ = Enter Once

## Reports and Payments

- 4 Click the **Requested Document** name to open (e.g. *InitialReport\_1.doc*)

If the document doesn't display, press F5 to refresh the page

Hint: Once the document is open, you can save a copy to the customer's file on the network drive

Grant Project: s 22 Reports and Payments: s 22 - Reports and Payments Properties

| <input type="checkbox"/> | Which Template?           | Requested Document                    | Created By |
|--------------------------|---------------------------|---------------------------------------|------------|
| <input type="checkbox"/> | NGMIP - Claim For Payment | InitialReport_prj_rap_ngmip_cfp_1.doc | s 22       |

Save New Delete Return

## Generate documents

## Generate Customer Letters and Documents

- 1 Through the life of a project, you may be required to generate document templates that use merge fields and system data to pre-populate information needed to ensure consistency across the network

These templates are grouped by key areas of the system and templates can only be generated against the part of the system they relate to

These areas include

- Applications
- Reports and Payments
- Agreements
- Variations

Hover over **Properties** and click **Generate Documents**

| Properties ▾ | Financial Plans           | Dashl |
|--------------|---------------------------|-------|
| Main         | Properties                |       |
| Incidents    | General                   |       |
| Dependencies | Contact Details           |       |
| Baseline     | Project Locations         |       |
|              | Agreement                 |       |
|              | Variations                |       |
|              | Reports & Payments (R&P)  |       |
|              | Manual R&P Version        |       |
|              | R&P Versions              |       |
|              | Milestones                |       |
|              | Decisions                 |       |
|              | Compliance                |       |
|              | <b>Generate Documents</b> |       |
|              | Actions/Notes             |       |

- 2 Generate Documents page will appear
- Click **New**

Asset: <sup>s 22</sup>  **Properties - Main - Generate Documents**

---

There are no items to display

## Generate documents

- 3 Click **Save** to continue (this page creates the SGMS generate record before you can select which template you want.)

## General

✱ Name Click [Save] to Continue please...

Save

Save And Return

Return

✱ = Required    ✱ = Enter Once    ✱ = Unique

- 4 Select required document from dropdown next to **Which Template?**

Click **Save And Return**

Grant Project: s 22 | Agreement: v0 | Agreement Merged Documents: Click [Save] to Continue please... - General

## General

Which Template?

[--Select--]  
NGMIP - Funding Agreement

ent is not visible, please refresh the page )

Created By s 22

Created Date 30/03/2016

Save

Save And Return

Return

✱ = Enter Once

- 5 Click the **Requested Document** name to open (e.g. *InitialReport\_1.doc*)

If the document link is not displayed, press F5 to refresh the page

Hint: Once the document is open, you can save a copy to the customer's file on the network drive

Grant Project s 22 | Agreement: v0 - Agreement Properties

Filter: System Default ▼

|                          | Which Template?           | Requested Document       |
|--------------------------|---------------------------|--------------------------|
| <input type="checkbox"/> | NGMIP - Funding Agreement | v0_prj_ag_ngmipagr_1.doc |

New

Delete

Return

## Glossary and Icons

## Glossary and Icons

## Glossary

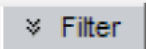
| Term   | Meaning                                                                                                   |
|--------|-----------------------------------------------------------------------------------------------------------|
| ABN    | Australian Business Number                                                                                |
| ACN    | Australian Company Number                                                                                 |
| ASIC   | Australian Securities and Investment Commission                                                           |
| CAPA   | Computer Associates Productivity Accelerator. This is the in-built online training system within the SGMS |
| CC     | Creditor Code                                                                                             |
| CGG    | Commonwealth Grant Guidelines                                                                             |
| CSM    | Customer Service Manager                                                                                  |
| eSGMS  | Enterprise Strategic Grants Management System                                                             |
| Filter | Term used in SGMS for 'Search'                                                                            |
| KPI    | Key Performance Indicators                                                                                |

## Glossary and Icons

|                |                                                                                                                                                            |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>WISE</b>    | Incubator Support Initiative (ISI)                                                                                                                         |
| <b>Project</b> | The term Project is reserved within the SGMS for an approved Application. Once supported (approved) by a Decision Maker, an Application becomes a Project. |
| <b>R&amp;P</b> | Reports and Payments                                                                                                                                       |
| <b>RCTI</b>    | Recipient Created Tax Invoice                                                                                                                              |
| <b>SGMS</b>    | Strategic Grants Management System                                                                                                                         |
| <b>GTMYG</b>   | Guide to Managing Your Grant                                                                                                                               |

## Glossary and Icons

## Icons

| Icon or Action Button                                                                                       | Description                                                                                                                                                                                                                                                                      |
|-------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Filter Button</b><br>   | <p>Filter is the term used by the SGMS in place of search.</p> <p>To access specific information within SGMS use the <a href="#">filter page</a> to narrow your search. Enter the relevant information into the search fields' then click the <a href="#">filter button</a>.</p> |
| <b>Dashboard Icon</b><br>  | <p>Click the <a href="#">dashboard icon</a> to display summary view of information.</p>                                                                                                                                                                                          |
| <b>Properties Icon</b><br> | <p>Click on the <a href="#">properties icon</a> to open the properties of a particular page. Most information is entered on or via a properties page.</p>                                                                                                                        |
| <b>Padlock Icon</b><br>  | <p>This icon indicates that the record is locked. These records can be accessed via the dashboard in a read only format.</p>                                                                                                                                                     |
| <b>Record Link</b><br>   | <p>To open the record, click on the <a href="#">record's link</a>.</p>                                                                                                                                                                                                           |
| <b>Red Box Icon</b><br>  | <p>All fields beside a <a href="#">red box icon</a> are mandatory and require information before the record can be saved.</p>                                                                                                                                                    |



## Glossary and Icons

## Green Box Icon



All fields beside a **green box icon** are completed once only. When the record is saved, the field is locked as read only.

## Blue Box Icon



All fields beside a **blue box icon** are unique.

## Rubbish Bin Icon



Clicking on the **rubbish bin icon** deletes the current entry in the field.  
This is referred to as the **remove** button.

## Binoculars Icon



The **binoculars icon** opens a search page. Use this icon to search for a value in Clarity.  
This icon is known as the **Browse** button.

Calendar Icon/ Select  
Date

Use the **calendar icon** to search for dates.  
Click the **select date** button to view the calendar.  
Users can either enter the date directly in the field, or use the calendar icon to select a date.

## Cross and Tick Icon

These icons indicate that required details have been entered or they indicate 'yes' or 'no' for an item.

## Icon Lights

These lights indicate critical dates in the future (green), when they require action (Amber) or when they are overdue (red).

## Glossary and Icons



## Yellow Triangle Icon



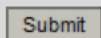
The [yellow triangle](#) icon appears next to a field to indicate that this is an important action.

## Save Button



If you leave a page without saving any information you have entered since the last save, that information will be lost. Always save information, after saving a record, the page remains displayed. (If the information you have saved does not update automatically, try refreshing the page 'F5')

## Submit Button



Submit a page to save the record and return to the previous page.

Home Tool Bar  
Icon

Click on the [home tool bar icon](#) to navigate back to the home page.

Set home page  
Tool Bar Icon

To set a different main page as your home page click on the [set as home page tool bar icon](#) to set the new home page.

## Calendar Tool Bar

Click on the [calendar tool bar icon](#) to navigate to the Calendar page

## Glossary and Icons

Icon



(Organiser Calendar).

Toggle Navigation

Visibility Tool Bar

Icon

Click on the [toggle navigation visibility tool bar icon](#) to hide the main Menu/navigation column.

Help Tool Bar Icon

Clicking on the [help tool bar icon](#) will open CA Clarity PPM Help in a new Window (Clarity PPM is the name of the off-the-shelf version)

Log Out Tool Bar Icon

Click on the [log out tool bar icon](#) to log out of SGMS, this will take you to the log in page.

## Appendix A

## Appendix A

## Fields required for each Variation type

Variation of Time-Bring Forward Project/Extend End Date

| Properties                                                                                                                                        |                                                                                                 | Processes                               |                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------|
| Grant Project: <b>s 22</b> Grant Project Variations: Vary   Grant Project Variation Items: <b>s 22</b> - Grant Project Variation Items Properties |                                                                                                 |                                         |                      |
| <b>Variation Instructions</b>                                                                                                                     |                                                                                                 |                                         |                      |
| <input checked="" type="checkbox"/> Variation Item Instructions                                                                                   | Items to be updated at a minimum:<br>* Agreed Completion Date<br>* Reports and Payment Schedule | <input type="checkbox"/> Decision Maker | Authorised Officer   |
|                                                                                                                                                   |                                                                                                 | Authorised Officer/Program Delegate     |                      |
| <b>Independent Technical Assessment</b>                                                                                                           |                                                                                                 |                                         |                      |
| Independent Technical Assessment                                                                                                                  | <input type="checkbox"/>                                                                        | External Assessor Name                  | <input type="text"/> |
| IP Australia Report                                                                                                                               | <input type="checkbox"/>                                                                        | External Assessor Organisation          | <input type="text"/> |
| <b>Variation of Time</b>                                                                                                                          |                                                                                                 |                                         |                      |
| New Project End Date                                                                                                                              | <input type="text"/>                                                                            | Current Organisation                    | <b>s 22</b>          |
| Current Start Date                                                                                                                                | 1/07/2016                                                                                       | Proposed Start Date                     | 1/07/2016            |
| Current End Date                                                                                                                                  | 30/06/2017                                                                                      | Proposed End Date                       | 30/06/2017           |
| Current Grant Amount                                                                                                                              | <b>s 22</b>                                                                                     | Proposed Grant Amount                   | <b>s 22</b>          |
| Current Cost                                                                                                                                      | <b>s 22</b>                                                                                     | Proposed Cost                           | <b>s 22</b>          |
| Current Grant %                                                                                                                                   | 50.00%                                                                                          | Proposed Grant %                        | 50.00%               |
| <b>Variation Item Complete</b>                                                                                                                    |                                                                                                 |                                         |                      |
| Item Complete                                                                                                                                     | <input type="checkbox"/>                                                                        | CSM Comments                            | <input type="text"/> |
| <input type="button" value="Save"/> <input type="button" value="Save And Return"/> <input type="button" value="Return"/>                          |                                                                                                 |                                         |                      |
|  = Enter Once                                                    |                                                                                                 |                                         |                      |

## Appendix A

## Transfer of project

Properties Processes

Grant Project: **S 22** Grant Project Variations: Vary | Grant Project Variation Items: **S 22** - Grant Project Variation Items Properties

**Variation Instructions**

☒ Variation Item Instructions Items to be updated at a minimum:

- \* Change Organisation Name
- \* Project Budget by Financial Year
- \* Annual Capped Amounts
- \* Reports and Payment Schedule
- \* Variation Effective Date
- \* Creditor Code

☒ Decision Maker Authorised Officer

Authorised Officer/Program Delegate

**Independent Technical Assessment**

Independent Technical Assessment ☐

IP Australia Report ☐

**Transfer of Project**

☒ New Organisation/Grantee

Transfer of Project Description

Current Organisation: **S 22**

Current Start Date: 1/07/2016

Current End Date: 30/06/2017

Current Grant Amount: **S 22**

Current Cost: **S 22**

Current Grant %: 60%

**Variation Item Complete**

Item Complete ☐

CSM Comments

Save Save And Return Return

☒ = Required ☐ = Enter Once

## EP – Incubator Support – DocHub Guidance

This document is intended to support users of the DocHub container EP- Incubator Support.

### Delivery Library

#### **Name**

This is a mandatory DocHub free text field that describes what the document is e.g. Supplier details form or another title for the document that has not already been used in another metadata field. DocHub requires that each document has a name that is unique.

There is no minimum naming style for these documents, however keep in mind that anyone who comes into the library should be able to know what a document is from its file name and metadata tags so it is important that the name includes a descriptor of the document. Some examples of the format you might use are:

- Historical Extract XYZ Holdings Pty Ltd
- Funding Agreement Finalisation Form XYZ Holdings ISI12345

#### **Security Classification**

This is a mandatory DocHub field that provides a dropdown list of security classifications used across the department. For guidance on which classification to use refer to the [Australian Government Security Classification](#) table.

The general advice is to use For-Official-Use only, however please use your judgement and select the classification that is appropriate for the document you are saving.

#### **Document type**

This is a mandatory DocHub field that provides a dropdown list of document types that apply across the department. The document types that should be used for Incubator Support are outlined on page 3.

#### **Work activity**

This is an optional field that provides a dropdown list of work activity types that apply across the department. It is unlikely that this field will be used in Delivery as the relevant information is covered by the Phase/Lifecycle tag.

However, the network may wish to use this metadata tag to track any state based documents related to the programme which do not relate to a specific customer. For example Programme Management may be used to tag any state or territory programme management type documents such as state based trackers.

#### **Phase/Lifecycle**

This field provides a dropdown menu of service or grant phases and aligns to the categories used by BGM.

- *Application*
- *Eligibility Assessment*
- *Merit Assessment*
- *Agreement*
- *Variation*

- *Initial / Progress / Final Payment*
- *Progress Report*
- *Post Project Report*
- *Termination*

Please use this field for all documents related to a customer engagement. Guidance about which lifecycle phase applies to which documents can be found in the table on page 3.

**Entity (Customer)**

This field is a free text field for the customer's business name. Make sure that the name of the entity matches the 'organisation' record in BGM.

**Project (Grant/Benefit) no**

This field is a free text field for a reference number. For all customers this number will be the BGM 'service number'.

**Stream**

This field provides a dropdown menu of the two streams, Expert in Residence and New & Existing. Please select the relevant stream for the application.

**State**

This field has the option to input a state or territory. Please select the state where the assessor is located.



## Metadata Tag Examples

| Document description                           | Name | Security Classification | Document Type  | State (where assessor is based) | Stream Applied For (EIR or N&E) | Entity       | Project No |
|------------------------------------------------|------|-------------------------|----------------|---------------------------------|---------------------------------|--------------|------------|
| <b>Phase/ Lifecycle: Application</b>           |      |                         |                |                                 |                                 |              |            |
| Application Form                               |      | For Official Use Only   | Application    |                                 |                                 | Company Name | ISIXXX     |
| Trust document                                 |      | For Official Use Only   | Application    |                                 |                                 | Company Name | ISIXXX     |
| Application Attachments                        |      | For Official Use Only   | Application    |                                 |                                 | Company Name | ISIXXX     |
| <b>Phase/Lifecycle: Eligibility Assessment</b> |      |                         |                |                                 |                                 |              |            |
| Eligibility assessment                         |      | For Official Use Only   | Checklist      |                                 |                                 | Company Name | ISIXXX     |
| Further info from Customer                     |      | For Official Use Only   | Correspondence |                                 |                                 | Company Name | ISIXXX     |
| ABN Search                                     |      | For Official Use Only   | Record         |                                 |                                 | Company Name | ISIXXX     |
| ASIC Search                                    |      | For Official Use Only   | Record         |                                 |                                 | Company Name | ISIXXX     |
| Corporate Scorecard                            |      | For Official Use Only   | Record         |                                 |                                 | Company Name | ISIXXX     |
| Customer Website                               |      | For Official Use Only   | Record         |                                 |                                 | Company Name | ISIXXX     |
| Eligibility Letter                             |      | For Official Use Only   | Letter         |                                 |                                 | Company Name | ISIXXX     |
| <b>Phase/Lifecycle: Merit Assessment</b>       |      |                         |                |                                 |                                 |              |            |
| Merit Assessment                               |      | For Official Use Only   | Analysis       |                                 |                                 | Company Name | ISIXXX     |
| Disclosure of Interest                         |      | For Official Use Only   | Record         |                                 |                                 | Company Name | ISIXXX     |
| Further info from Customer                     |      | For Official Use Only   | Correspondence |                                 |                                 | Company Name | ISIXXX     |
| Deck                                           |      | For Official Use Only   | Analysis       |                                 |                                 | Company Name | ISIXXX     |

|                                                                                                            |  |                       |                |  |  |              |        |
|------------------------------------------------------------------------------------------------------------|--|-----------------------|----------------|--|--|--------------|--------|
| Outcome Letter<br>(Approval or Non-approval letter)                                                        |  | For Official Use Only | Letter         |  |  | Company Name | ISIXXX |
| Decision Sheet                                                                                             |  | For Official Use Only | Decision       |  |  | Company Name | ISIXXX |
| <b>Phase/Lifecycle: Agreement</b>                                                                          |  |                       |                |  |  |              |        |
| Funding Agreement                                                                                          |  | For Official Use Only | Agreement      |  |  | Company Name | ISIXXX |
| Finalisation Checklist                                                                                     |  | For Official Use Only | Checklist      |  |  | Company Name | ISIXXX |
| <b>Phase/Lifecycle: Initial / Progress / Final Payment (use the Phase appropriate to the payment type)</b> |  |                       |                |  |  |              |        |
| Payment Reminder                                                                                           |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| Supplier Form                                                                                              |  | For Official Use Only | Record         |  |  | Company Name | ISIXXX |
| Payment Claim                                                                                              |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| Information from Customer                                                                                  |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| Payment Checklist                                                                                          |  | For Official Use Only | Checklist      |  |  | Company Name | ISIXXX |
| De-commitment Approval                                                                                     |  | For Official Use Only | Checklist      |  |  | Company Name | ISIXXX |
| Approved Claim for Payment                                                                                 |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| Notification of Payment                                                                                    |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| RCTI                                                                                                       |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| <b>Phase/Lifecycle: Progress Report</b>                                                                    |  |                       |                |  |  |              |        |
| Progress Report                                                                                            |  | For Official Use Only | Report         |  |  | Company Name | ISIXXX |
| Information from Customer                                                                                  |  | For Official Use Only | Correspondence |  |  | Company Name | ISIXXX |
| <b>Phase/Lifecycle: Post Project Report</b>                                                                |  |                       |                |  |  |              |        |
| Final Project Report                                                                                       |  | For Official Use Only | Report         |  |  | Company Name | ISIXXX |

|                              |  |                          |                |  |  |              |        |
|------------------------------|--|--------------------------|----------------|--|--|--------------|--------|
| Information from<br>Customer |  | For Official Use<br>Only | Correspondence |  |  | Company Name | ISIXXX |
|------------------------------|--|--------------------------|----------------|--|--|--------------|--------|

## Management Library

In the Management Library not every metadata field needs to be completed. The most useful fields for views are:

- Document Type
- Work Activity

For ease of identification of documents it is best to select a Work Activity and Document Type for all documents. We can also utilise other free text fields such as Project (Grant/Benefit) No and Entity Name to track and group documents if needed.

Sometimes it can also be a good idea to use the Division Keywords field to distinguish between documents which have the same tags but are for different purposes. For example both the CSM meeting agenda and a team meeting agenda would be tagged with the Work Activity Meetings and Document Type Agenda so using Division Keywords would enable them to be separated easily using a filter.

Some common documents that we use and suggested metadata tags are in the table below.

| Document description                                | Name                                            | Document Type       | Work Activity        | Division Keywords |
|-----------------------------------------------------|-------------------------------------------------|---------------------|----------------------|-------------------|
| Decisions Brief                                     | PDMS tracking number and Committee Meeting Date | Brief               | Briefing             |                   |
| Ministerial Briefing                                | PDMS tracking number and subject                | Brief               | Briefing             |                   |
| Ministerial Decisions                               | PDMS tracking number and Committee Meeting Date | Decision            | Briefing             |                   |
| Hot Issues Briefs                                   |                                                 | Hot Issues Brief    | Briefing             |                   |
| QTB                                                 |                                                 | Question Time Brief | Briefing             |                   |
| Customer Documentation<br>eg Guidelines, Factsheets |                                                 | As per document     | Documentation        |                   |
| EPC Meeting Agenda                                  |                                                 | Agenda              | Meetings             | EPC               |
| CSM Meeting Agenda                                  |                                                 | Agenda              | Meetings             | Network           |
| EPC Meeting Minutes                                 |                                                 | Minutes             | Meetings             | EPC               |
| CSM Meeting Minutes                                 |                                                 | Minutes             | Meetings             | Network           |
| Decision Sheets                                     |                                                 | Decision            | Programme Management |                   |

|                                                  |                                                            |                |                           |                |
|--------------------------------------------------|------------------------------------------------------------|----------------|---------------------------|----------------|
| Templates eg<br>assessment,<br>eligibility, FAFF |                                                            | Template       | Programme<br>Management   |                |
| Senate Estimates<br>Brief                        |                                                            | Brief          | Senate Estimates          |                |
| Ministerial<br>Correspondence                    | PDMS tracking<br>number<br>Correspondent<br>Name and Issue | Correspondence | Stakeholder<br>Engagement |                |
| Contact Centre<br>Script                         |                                                            | Script         | Stakeholder<br>Engagement | Contact Centre |

## Incubator Support Initiative – CSM Variation Assessment

|                                  |                                     |                         |                                                  |
|----------------------------------|-------------------------------------|-------------------------|--------------------------------------------------|
| <b>Project Number</b>            |                                     |                         |                                                  |
| <b>Organisation Name</b>         |                                     |                         |                                                  |
| <b>Stream</b>                    |                                     |                         |                                                  |
| <b>Project Title</b>             |                                     |                         |                                                  |
| <b>Project Start Date</b>        |                                     | <b>Project End Date</b> |                                                  |
| <b>Total Expenditure</b>         | [All eligible and ineligible costs] | <b>Grant Amount</b>     | [All costs deemed to be eligible, incl. in-kind] |
| <b>CSM Name and Phone Number</b> |                                     |                         |                                                  |

**1. Project Background (*please include detail of any other previous variation requests*)**

Provide comments as appropriate.

**2. Progress against milestones (Compare the progress to that reported in the most recent progress report if applicable, are there any significant changes? Was the variation flagged in previous reporting?)**

Provide comments as appropriate.

**3. Outline of variation request (*note if there is a change to project outcome* and in particular, comment on evidence supplied to support the need for additional funding issue, if applicable)**

Provide comments as appropriate.

**4. Are there any issues of eligibility associated with this variation?**

Provide comments as appropriate.

**5. (EIR only) If the Expert-in-Residence is being changed from a previously approved individual, has the grantee provided a new CV(s)?**

Provide comments as appropriate.

**6. Changes to the annual capped grant amounts (*if applicable*)**

|                                     | 2021/22 | 2022/23 | 2023/24 | 2024/25 | Total |
|-------------------------------------|---------|---------|---------|---------|-------|
| Current annual capped grant amount: |         |         |         |         |       |

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|                                                   |  |  |  |  |  |
|---------------------------------------------------|--|--|--|--|--|
| Requested movement in annual capped grant amount: |  |  |  |  |  |
| Difference:                                       |  |  |  |  |  |
| New annual capped grant amount:                   |  |  |  |  |  |

**7. Summary of requested changes/Impact on Funding Agreement**

Provide comments as appropriate.

**Recommendation**Supported Partially Supported Not Supported 

Provide a brief statement of rationale for the recommendation.

CSM Name &lt;CSM name&gt;

Phone no &lt;CSM phone number&gt;

Email &lt;CSM email&gt;

As CSM, I have completed this assessment.

Signed..... Date .....

Manager Name &lt;Manager name&gt;

Phone no &lt;Manager phone number&gt;

Email &lt;Manager email&gt;

I endorse the assessment and confirm that the financial year splits outlined above match the budget plan in BGM.

Signed..... Date .....

**Decision**

Name &lt;Delegate name&gt;

Phone no &lt;Delegate phone number&gt;

Email &lt;Delegate email&gt;



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I approve/reject (please circle) the variation request.

Signed.....

Date .....

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# Incubator Support initiative

## Application completeness and eligibility checklist

### Expert in Residence

This form is to assist assessors determine whether an application is complete and eligible.

|                           |                                                                                                                    |
|---------------------------|--------------------------------------------------------------------------------------------------------------------|
| Reference number          | <BGM reference number>                                                                                             |
| BGM link to application   | <Hyperlink to application in BGM>                                                                                  |
| Applicant name            | <applicant name>                                                                                                   |
| Date application received | <dd month yyyy>                                                                                                    |
| Project title             | <project title>                                                                                                    |
| Electorate                | <project title>                                                                                                    |
| Incubator status          | <new or existing?>                                                                                                 |
| GST status                | <GST registered?>                                                                                                  |
| Requested grant amount    | \$<grant amount><br><i>For grants of \$50,000 or less, applications will only be assessed against eligibility.</i> |

#### A. Incubator status

| No | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                       | Selection                                                      | Assessor comment (if applicable) |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|----------------------------------|
| 1. | <p>Is the applicant an existing incubator or establishing a new incubator that can foster and facilitate the development of innovative start-ups focused on international trade?</p> <p><i>New = in the process of being established and yet to accept a cohort of start-ups (0 cohorts)</i></p> <p><i>Existing = already operational and are currently supporting or have previously supported a cohort of start-ups (1 or more cohorts).</i></p> | <input type="checkbox"/> new<br><input type="checkbox"/> exist |                                  |

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| No | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Selection                                                   | Assessor comment (if applicable) |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 2. | <p>Can you confirm the applicant's claims of incubator business experience, operations and activities being undertaken through:</p> <ul style="list-style-type: none"> <li>provision of appropriate/quality information and evidence</li> <li>reviewing the information provided on the applicant's website</li> <li>reviewing other information gained through internet or other search methods?</li> </ul> <p><i>We define Incubator as: a business support organisation that fosters innovative start-ups focussed on international trade, through providing offerings such as seed funding, colocation, mentoring, professional services and access to networks. It can include accelerators and germinators.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## B. Entity type

| No | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Selection                                                   | Assessor comment (if applicable) |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 3. | <p>Is the ABN consistent with the applicant name provided? (Page 4 and 7 of application form)</p> <p><a href="http://www.abr.business.gov.au">www.abr.business.gov.au</a> (ABN Lookup)</p> <p><i>You can also use the Corporate Scorecard Historical Extract Report or Express Check report which details ACN, ABN &amp; Organisation type</i></p> <p><a href="http://corporatescorecard.com.au">http://corporatescorecard.com.au</a>.</p>                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 4. | <p>Can you confirm that the applicant is one of the following:</p> <ul style="list-style-type: none"> <li>an entity incorporated in Australia</li> <li>an incorporated trustee on behalf of a trust</li> <li>a not for profit organisation</li> <li>a publically funded research organisation (PFRO)</li> <li>local government agency or body.</li> </ul> <p>(Page 4 of Application Form)</p> <p><a href="http://www.abr.business.gov.au">www.abr.business.gov.au</a> (ABN Lookup)</p> <p><i>You can also use the Corporate Scorecard Historical Extract or Express Check Report to find organisation type, ACN &amp; ABN details</i> <a href="http://corporatescorecard.com.au">http://corporatescorecard.com.au</a></p> <p><i>Refer to appendix A of program guidelines for definition of PFRO and local government agency or body.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

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| No | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Selection                                                   | Assessor comment (if applicable) |
|----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 5. | <p>Can you confirm that the applicant is not an:</p> <ul style="list-style-type: none"> <li>an individual, partnership or trust (however, a trading corporation that is a corporate trustee may apply on behalf of a trust)</li> <li>a Commonwealth or state government agency or body (including PFROs and government business enterprises).</li> </ul> <p><i>The ABN Lookup at <a href="http://www.abr.business.gov.au">www.abr.business.gov.au</a> will note the "Entity type".</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## C. Project involves incoming experts

☐ n/a

| No | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Selection                                                   | Assessor comment (if applicable) |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 6. | Has the applicant confirmed the expert is not a current employee of the incubator?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 7. | Has the applicant supplied resumes for each expert outlining the experience and capabilities of the experts?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 8. | <p>Can you confirm the expert's qualifications and experience claimed in the application through</p> <ul style="list-style-type: none"> <li>confirming contact details</li> <li>confirming information/background/experience provided in the expert's provided resume/s</li> <li>reviewing particulars of expert against names in departmental systems including BGM</li> <li>confirming the expert has been engaged specifically for this project if successful</li> <li>reviewing other information gained through internet or other search methods.</li> </ul> <p><i>This is not a mandatory requirement. You should provide comment if the answer is no.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## D. Project involves outgoing experts

☐ n/a

| No  | Requirements                                                                                                      | Selection                                                   | Assessor comment (if applicable) |
|-----|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 9.  | Has the applicant provided the details of the outgoing expert?                                                    | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 10. | Has the applicant provided the details of the host incubators and a letter of commitment from all host incubator? | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

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| No  | Requirements                                                                                                                                                                                                                                                                                                                      | Selection                                                   | Assessor comment (if applicable) |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 11. | <p>In the summary of activities and outcomes has the applicant satisfactorily described how the new knowledge gained will benefit the incubator and start-ups, meeting the objectives of the program?</p> <p><i>If you are unsure you should provide a comment in section J and refer the application to your supervisor.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## E. Joint applications

☐ n/a

| No  | Requirements                                                                                                                                                                                                                                                                            | Selection                                                   | Assessor comment (if applicable) |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 12. | Does the lead applicant meet the eligibility criteria?                                                                                                                                                                                                                                  | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 13. | <p>Where the application is a joint application, have adequate letters of support been submitted from all project partner organisations?</p> <p><i>A letter of support must be submitted by each project partner.</i></p> <p><i>If no, provide additional comment in section J.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## F. Project eligibility

| No  | Requirements                                                                                                                                                                                                                                                                                                             | Selection                                                   | Assessor comment (if applicable) |
|-----|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 14. | <p>Are all the activities and expenditure claimed in the project eligible?</p> <p><i>Where there are any activities or expenditure that are not eligible you should note this in section J. Depending on the extent of ineligible expenditure we may modify the grant sought or deem the application ineligible.</i></p> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 15. | Is the grant amount sought 50% or less of eligible project expenditure?                                                                                                                                                                                                                                                  | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 16. | Is the total project value at least \$10,000?                                                                                                                                                                                                                                                                            | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 17. | Has the applicant identified the budget for their project and indicated they can fund their contribution (cash and in-kind)?                                                                                                                                                                                             | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 18. | Does the summary of activities and outcomes clearly describe the key activities and project outcomes?                                                                                                                                                                                                                    | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 19. | Has the applicant provided a complete application form and checked all boxes as part of the Applicant Declaration?                                                                                                                                                                                                       | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

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## G. In kind contributions

☐ n/a

| No  | Requirements                                                                                                                                                                                                                                                   | Selection                                                   | Assessor comment (if applicable) |
|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| 20. | Are in-kind contributions from the applicant and other sources less than 10 per cent of the project value?                                                                                                                                                     | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |
| 21. | Are all in-kind contributions eligible? Have details been adequately explained and do they seem reasonable?<br><br><i>Where there are in-kind contributions that are not eligible or have not been adequately explained you should note this in section J.</i> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |                                  |

## H. Optional project requirements.

| No  | Requirements                                                                               | Selection                                                                                   | Assessor comment (if applicable) |
|-----|--------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|----------------------------------|
| 22. | Where the requested grant is over \$50,000 has an accountant declaration been provided?    | <input type="checkbox"/> yes<br><input type="checkbox"/> no<br><input type="checkbox"/> n/a |                                  |
| 23. | Where the requested grant is over \$50,000 has the applicant addressed the merit criteria? | <input type="checkbox"/> yes<br><input type="checkbox"/> no<br><input type="checkbox"/> n/a |                                  |

## I. Online search

|     |                                                                                                                                                                                                                                                           |                                                             |  |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|--|
| 24. | Did a simple online search of the applicant entity and the main contact listed in the application reveal any negative results?<br><br><i>If yes, please briefly record the issue(s) and the hyperlink to the webpage where the information was found.</i> | <input type="checkbox"/> yes<br><input type="checkbox"/> no |  |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|--|

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**J. Final comments**

Provide any further comments in relation to the eligibility and completeness of the application. Note any concerns that require your supervisor to review.

**K. Assessor's recommendation**

**Assessor name** [Your name]

**Date** [date]

This application is complete. Yes ☐ No ☐ N/A ☐

The application meets all of the eligibility criteria. Yes ☐ No ☐ N/A ☐

I recommend it be considered for delegate approval.  
(for grants of \$50,000 or less) Yes ☐ No ☐ N/A ☐

I recommend it be considered for merit assessment.  
(for grants over \$50,000) Yes ☐ No ☐ N/A ☐

**L. Authorised officer's recommendation**

Does this project meet the program's intended outcomes and will funding this project be a proper use of public resources? Yes ☐ No ☐ N/A ☐

*Provide comment if applicable.*

The application is complete Yes ☐ No ☐ N/A ☐

The application meets all of the eligibility criteria Yes ☐ No ☐ N/A ☐

This eligibility checklist is complete Yes ☐ No ☐ N/A ☐

I recommend it be considered for delegate approval.  
(for grants of \$50,000 or less) Yes ☐ No ☐ N/A ☐

I recommend it be considered for merit assessment.  
(for grants over \$50,000) Yes ☐ No ☐ N/A ☐

**Authorised officer name** [Name]

**Position** [Position]

**Signature** [signature]

**Date** [date]



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# Incubator Support Initiative – New and Existing – grant agreement finalisation form

|                           |                             |
|---------------------------|-----------------------------|
| Project number            | [Project number]            |
| Organisation              | [Organisation name]         |
| Project title             | [Project title]             |
| Date application accepted | [Date application accepted] |
| Agreed project start date | [Agreed project start date] |
| Agreed project end date   | [Agreed project end date]   |

## Preliminary

|                                                                                                                                                                                                                                                                                                    | Yes                      | No                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1. Has the grant agreement been generated from BGM?<br>Note: It is expected that all grant agreements will be generated by BGM and not created manually. If there is an issue with the BGM generated grant agreement this should be escalated to the AusIndustry Systems team as soon as possible. | <input type="checkbox"/> | <input type="checkbox"/> |

## To be addressed before the grant agreement can be issued

If you mark "Yes" to any questions below, stop the agreement finalisation process and go through the appropriate approval process. Note this is very important as any variations are seen as a breach of PGPA regulations.

|                                                                                                                                                                                                                                         | Yes                      | No                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 2. Did the offer of funding letter contain any conditions to be met before the grant agreement can be executed?                                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If "Yes" provide the link to the evidence providing authorised officer or programme delegate approval that the conditions have been met</li> </ul>                                               |                          |                          |
| 3. Were any amendments required to the grant agreement?<br>Note: Typically we do not negotiate any terms of the grant agreement. Any request to amend terms of the grant agreement should be referred to the programme management team. | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If "Yes" provide the link to the evidence providing authorised officer or programme delegate approval of changes</li> </ul>                                                                      |                          |                          |
| 4. Does the financial year spilt in page 8 of the grant agreement differ from that approved by the programme delegate?                                                                                                                  | <input type="checkbox"/> | <input type="checkbox"/> |

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|                                                                                                                                                                      | Yes                      | No                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the approved Purchase Order Amendment (POA).</li> </ul>                                          |                          |                          |
| 5. Has the initial agreement due date in the letter of offer passed?                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the Authorised Officer or Programme Delegate approval to vary the agreement due date.</li> </ul> |                          |                          |
| 6. Insert Creditor Code                                                                                                                                              |                          |                          |

## CSM Comments

Add comments if there are any changes to what was approved.

Note: Changes may only be approved where they do not fundamentally change the project outcome and are in accordance with the applicable policies and guidelines.

<Enter comments>

## CSM recommendation

CSM Name      <CSM name>

I submit this grant agreement as reflecting what was approved and ready to be issued.

Signed ..... Date.....

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## To be checked by authorised officer before issuing grant agreement

All details in the grant agreement should be checked by the authorised officer responsible for issuing the grant agreement. Those that are straightforward (eg check the organisation name is correct) are not specifically mentioned here, but still need to be checked. Those that relate to programme guidelines are specifically checked below.

|                                                                                                                                                                                                                                                 | Yes                      | No                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 7. Is the agreed project start date consistent with the rules of the programme as outlined in the programme guidelines?<br><br>Note: The guidelines state the earliest project start date can only be the date the grant agreement is executed. | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Is the agreed project end date within 24 months of the project start date?                                                                                                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Does the funding ratio and grant amount match what was approved by the Minister?                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Is the project outcome entered in the agreement consistent with the expected project outcomes that informed the decision making process to award funding?                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |

## Authorised officer's decision

Authorised officer name <Manager name>

I confirm that all aspects of the grant agreement are in line with what was approved and authorise the grant agreement to be issued.

Signed ..... Date.....

# Incubator Support Initiative

## Assessment and Completeness Report – *Expert in Residence* (over \$50,000)

|                                                                                              |                                                   |                                       |                                                           |
|----------------------------------------------------------------------------------------------|---------------------------------------------------|---------------------------------------|-----------------------------------------------------------|
| Application/Project Number                                                                   |                                                   |                                       |                                                           |
| Organisation Name                                                                            |                                                   |                                       |                                                           |
| Type of Organisation (ie. Incorporated entity, incorporated trustee, NFP, PFRO, local Govt.) |                                                   | New or Existing Incubator?            |                                                           |
| Project Title                                                                                |                                                   |                                       |                                                           |
| Project Start Date                                                                           |                                                   | Project End Date                      |                                                           |
| A: Total Expenditure                                                                         | [All eligible and ineligible costs]               | B: Total Eligible Project Expenditure | [All costs deemed to be eligible, incl. in-kind]          |
| C: Identified ineligible project expenditure                                                 | [All ineligible costs, incl. in-kind ie. 'A'-'B'] | D: Grant Amount                       | [Dollar value up to 50% of 'B', OR up to a max of \$100k] |
| Funding Ratio (%)                                                                            |                                                   |                                       |                                                           |
| CSM Name and Phone Number                                                                    |                                                   |                                       |                                                           |

### Applicant Details

Summarise the applicant's details using the template below.

<Applicant name> is a <insert description of business> that was founded in <insert year>. The applicant <is an existing incubator which targets <insert details> that is planning on expanding its services and capacity>. **OR** <is planning to open a new incubator focused on <insert details>.

**[delete that which is not relevant]**

This application is a collaborative project with <insert joint applicant details and description of business>. **[delete if not relevant]**

The applicant has received support from AusIndustry under <insert programme and funding details>. The applicant currently has <no> or <insert number> other <applications> and/or <grants> under the Incubator Support Initiative for <insert funding details>. **OR** The applicant received funding under the Incubator Support Initiative for <insert funding amount> and the project was successfully completed <insert date>. **[delete that which is not relevant]**

### Project Description

Summarise the planned project activities and intended outcomes outlined in the application. For example:

- outline the project activities, timeframe, value and intended outcomes including details of the incoming or outgoing experts;
- has sufficient information been provided? Is the project in line with ISI objectives?

<Applicant name>'s project involves <summarise project activities and outcomes>. The project will run from <insert start date> to <insert end date>. The applicant has provided <sufficient/insufficient> information regarding the project.

The described project appears <to be/to not be> in line with the Incubator Support Initiative objectives.

## Project Value

|                            |             |
|----------------------------|-------------|
| Total eligible expenditure | \$ ['B']    |
| Total grant amount         | \$ ['D']    |
| Grant ratio                | ['D'÷'B'] % |

*\*Note: this cannot exceed 50%*

## Issues with activities or expenditure

If applicable, identify any ineligible activities or expenditure, the basis of ineligibility and any recommended reductions in the grant amount or changes to activities and milestones if the grant is funded.

The applicant has included ineligible expenditure totalling <insert amount> relate to <insert ineligible activity description>. The CSM has removed this expenditure and the total eligible expenditure has reduced to <insert amount>. As a result the total grant amount has been reduced to <insert amount>.

**OR**

However, the CSM does not recommend a reduction in the total grant amount as <insert reasons>.  
**[Delete that which does not apply]**

## Applicant contributions

State the type of evidence provided for each funding type. Do the 'In-kind' and 'Other Government' contributions meet the maximum percentage amounts allowable as contributions towards total project expenditure? (refer to Programme Guidelines)

| Funding Type                   | A\$ | Percentage of Total Cost (%) | Type of evidence provided |
|--------------------------------|-----|------------------------------|---------------------------|
| Cash flow                      |     |                              |                           |
| Loans                          |     |                              |                           |
| Equity                         |     |                              |                           |
| In-kind                        |     |                              |                           |
| Other Government contributions |     |                              |                           |
| Other                          |     |                              |                           |
| Total                          |     |                              |                           |

## Merit Criterion

*Benefit to your incubator, start-ups and the broader innovation ecosystem*

Score: /50

### CSM comments

Comment briefly on:

- a) Has the applicant identified the distinct value proposition of the incubator, the gap in the market that their project will address and how their project will address this gap in terms of one or more of the following outcomes:
  - improving the commercial prospects of innovative startups in international markets;
  - developing Australia's innovation ecosystem so that innovative start-ups can thrive and flourish in international markets;
  - developing the capability and capacity of Incubators to facilitate and foster innovative start-ups with the potential to operate in international markets;
  - developing incubators in regional Australian communities.
- b) The project plan (activities, milestones, timeframe, value, intended outcomes).
  - Does the project plan include eligible activities that are consistent with the intent of ISI?
  - Has the applicant described how its activities will impact and improve the local innovation ecosystem?
  - Has the applicant described international market opportunities and route to market?
- c) For applicants seeking to launch a sectoral Incubator, has the applicant provided a description of the sector, its growth potential, evidence of new market opportunities, and the benefits the Incubator would bring to the sector and local innovation ecosystem, including new entrepreneurial activity, encouraging research/industry collaboration and providing connectivity? Are there particular competitive or comparative advantages of this sectoral Incubator in assisting start-ups to reach international markets?
- d) For applicants seeking to launch an Incubator in a new region, has the applicant provided a description of the density of existing economic activity – concentration of businesses and supporting infrastructure? Have they described the opportunities and benefits that a new incubator would bring to the region and local innovation ecosystem, including stimulating entrepreneurial activity, encouraging research/industry collaboration and providing connectivity? What are the competitive or comparative advantages of this regional Incubator in assisting start-ups to reach international markets?
- e) Where a project is for the purchase of new equipment or facilities, has the applicant demonstrated how this will impact startups and what additional benefits it will bring to both startups, the Incubator and local innovation ecosystem?
- f) Has the Incubator provided evidence of relevant industry, stakeholder and community support in the new region/sector? Has it described how it will leverage from these networks? Does the applicant have letters of support from the community?
- g) Summarise how the applicant claims the project will continue to benefit the community once it is completed.

**Delete this box once you have completed your assessment.**

### Value Proposition

The applicant has indicated that the incubator's distinct value proposition is <insert details>.

**OR**

The applicant has not directly outlined the incubator's distinct value proposition, however the CSM considers that the distinct value proposition is <insert details>.

**OR**

The applicant has not outlined the incubator's distinct value proposition and the CSM has been unable to determine the value proposition based on the information provided. **[Delete that which is not required]**

### Market Gap



The applicant has advised that the market gap its project will address is <insert details>. The applicant has provided <describe evidence> which demonstrates this market gap.

**OR**

The applicant has not directly outlined the market gap its project will address, however the CSM considers that the project is addressing the market gap of <insert details> as the applicant has provided <describe evidence> which demonstrates this gap.

**OR**

The applicant has not outlined the market gap its project will address and the CSM has been unable to determine the market gap based on the information provided. **[Delete that which is not required]**

The applicant has advised that its project addresses the market gap in terms of <insert number of outcomes> intended outcomes from the programme guidelines. The applicant has advised that its project will address the following intended outcomes:

- <insert intended outcome name> - <insert details of how addressed> **[Repeat if required]**

**OR**

The applicant has not directly addressed how its project fills the market gap, however based on the information provided, the CSM considers that the project addresses this market gap in terms of the following intended outcomes:

- <insert intended outcome name> - <insert details of how addressed> **[Repeat if required]**

**OR**

The applicant has not addressed how its project fills the market gap in terms of the intended outcomes in the programme guidelines and the CSM has been unable to determine this based on the information provided. **[Delete that which is not required]**

### **Project Plan**

The applicant has provided a satisfactory project plan which outlines the project <activities, milestones, timeframe, value and intended outcomes>. The project plan includes eligible activities that are consistent with the intent of the Incubator Support Initiative.

**OR**

The applicant has provided a project plan, however it fails to outline the project <activities, milestones, timeframe, value and intended outcomes>. However, the CSM notes that the project plan includes eligible activities that are consistent with the intent of the Incubator Support Initiative.

**OR**

The applicant has provided a project plan, however it fails to outline the project <activities, milestones, timeframe, value and intended outcomes> and it appears that the activities are not consistent with the intent of the Incubator Support Initiative. **[Delete that which is not required]**

### **Sectoral Incubators**

The applicant is seeking to launch an incubator in the <insert sector name> and has described the sector as:

- <insert sector description>

The applicant has indicated that the sector has growth potential in terms of <insert details> and the following new market opportunities:



- <insert details> **[Repeat as required]**

The applicant states that the incubator will bring the following benefits to the sector and local innovation ecosystems:

- <insert details> **[Repeat as required]**

**OR**

The applicant is seeking to launch an incubator in the <insert sector name> and has not described the sector. The applicant has indicated that the sector has not indicated the sector's growth potential or new market opportunities. The applicant has not outlined the benefits the incubator will bring to the sector and local innovation ecosystems. **[Delete that which is not required]**

***Note to CSM: If required the options can be combined to fit with the specifics of the application.***

### **Regional Incubators**

The applicant is seeking to launch an incubator in the <insert region details> and has provided the following information regarding existing economic activity:

- <insert details>

The applicant states that the incubator will bring the following benefits to the region and local innovation ecosystems:

- <insert details> **[Repeat as required]**

**OR**

The applicant is seeking to launch an incubator in the <insert region details > and has not provided information regarding existing economic activity. The applicant has not outlined the benefits the incubator will bring to the region and local innovation ecosystems. **[Delete that which is not required]**

***Note to CSM: If required the options can be combined to fit with the specifics of the application.***

### **Evidence of Support**

The applicant has provided <insert details of evidence> from <insert details of organisation supporting> which demonstrates community support from the <region/sector>.

**OR**

The applicant has not provided evidence of support from the community for the incubator in <insert region/sector details>. **[Delete that which is not required]**

### **Purchase of new Equipment of Facilities**

The project includes the purchase of new <equipment and facilities> including <insert details>. The applicant has stated that this will impact start-ups in the following ways:

- <insert details> **[Repeat as required]**

The applicant has also indicated that the <equipment and facilities> will bring the following benefits to start-ups, the incubator and local innovation ecosystem:

- <insert details> **[Repeat as required]**

**OR**

The project includes the purchase of new <equipment and facilities> including <insert details>. The applicant has not indicated how this will impact start-ups or the benefits to start-ups, the incubator and local innovation ecosystem.

## Recommendation (CSM to complete)

### Strengths and weaknesses of application

Provide an overview of the strengths and weaknesses of claims against the merit criteria relative to the project size, complexity and grant amount requested.

Assess whether the applicant has:

- provided a complete application that adequately outlines how their project will aim to support innovative, Australian start-ups to achieve success in international markets;
- adequately addressed each merit criteria and outlined relevant eligible project activities, budget and outcomes;
- substantiated their claims in the project application with relevant information and quality supporting evidence.

**Delete this box once you have completed your assessment.**

Strengths:

- <insert strengths>
- <insert strengths>
- <insert strengths>
- <insert strengths>

Weaknesses:

- <insert weaknesses>
- <insert weaknesses>
- <insert weaknesses>
- <insert weaknesses>

### Recommendation Summary

Provide a brief statement of rationale for the recommendation.

If recommending **Supported with Conditions**, formally list and number all conditions ie

1. provision of evidence of international linkages in the form of letters from international business partners, memoranda of understanding etc
2. provision of evidence of .....

**Delete this box once you have completed your assessment.**

The CSM supports this application, as <insert reasons>.

**OR**

The CSM supports this application with conditions, as <insert reasons for support>. The following conditions are recommended:

1. <Insert suggested condition to a maximum of three>

**OR**

The CSM does not support this application, for the following reasons:

- <insert reasons>.

**Total Score:** /50**Supported** **Supported with Conditions** **Not Supported** 

### Financial Year Split (based on the recommended grant)

Provide the financial year split, taking into account project duration and payment matrix provided, and when required to reflect comments on ineligible expenditure above.

| Year         | Amount by Year                  |
|--------------|---------------------------------|
| 2017-18      | <allocation 2017/18>            |
| 2018-19      | <allocation 2018/19>            |
| 2019-20      | <allocation 2019/20>            |
| <b>Total</b> | <b>&lt;Total allocation&gt;</b> |

**\*\*\*Amounts must match the budget plan in BGM\*\*\***

### Assessor Details – CSM and Manager to Complete

CSM Name      &lt;CSM name&gt;      Phone no      &lt;CSM phone number&gt;

Email      &lt;CSM email&gt;

As CSM, I have completed and endorse this assessment.

Signed..... Date .....

Manager Name      &lt;Manager name&gt;      Phone no      &lt;Manager phone number&gt;

Email      &lt;Manager email&gt;

I endorse the assessment and confirm that the financial year splits outlined above match the budget plan in BGM.

Signed..... Date .....

NOTE: Ensure the application has been allocated for a decision in BGM by the deck due date.

## Incubator Support - New and Existing Incubators progress report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                 |                                                                                  |
|-----------------|----------------------------------------------------------------------------------|
| Project number  | [project number]                                                                 |
| Grantee name    | [grantee name]                                                                   |
| Project title   | [project title]                                                                  |
| Progress period | [project period start date] to [project period end date] as per grant agreement] |

### 1. Project progress

- a. Complete the following table, updating for all milestones shown in the Activity Schedule of your grant agreement. Add rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) as at reporting period |
|----|---------------------------|------------------------|-------------------------------------|--------------------------------------------------------|
| 1. | [milestone 1 description] | [dd/mm/yy]             |                                     |                                                        |
| 2. | [milestone 2 description] | [dd/mm/yy]             |                                     |                                                        |
| 3. | [milestone 3 description] | [dd/mm/yy]             |                                     |                                                        |
| 4. | [milestone 4 description] | [dd/mm/yy]             |                                     |                                                        |

- b. Describe the eligible activities you have completed during this reporting period, including your progress against milestones and any outcomes achieved. If applicable, comment on why your progress is delayed.

- c. Attach any agreed evidence required to demonstrate your progress to date. List the attached documents below against the relevant activity/s.

- d. If you have a regional project, attach agreed evidence to demonstrate where the majority of your activities have been undertaken. List the attached documents below against the relevant activity.

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- e. Is the overall project proceeding as per your project plan and grant agreement?

Yes ☐ No ☐

If no, identify any changes or anticipated issues. Comment on any impacts on project timing and outcomes and how you expect to manage these.

- f. Are there any planned events relating to the project that you are ☐ yes ☐ no required to notify us about in accordance with your agreement?

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

- g. Attach copies of any published reports and promotional material relating to the project, and list them below.

## 2. Eligible project value summary

- a. Complete the following table explaining the:

- i. expenditure incurred and in-kind contribution provided prior to this report,
- ii. expenditure incurred and in-kind contribution for this reporting period, and
- iii. estimated future expenditure and in-kind contribution for the next reporting period.

All figures must be GST inclusive less GST inputs you can claim.

| Eligible project value                                          | Cost |
|-----------------------------------------------------------------|------|
| i. Eligible expenditure (cash) to date                          | \$   |
| ii. In-kind contributions to date                               | \$   |
| iii. Total eligible project value to date (i + ii)              | \$   |
| iv. Eligible expenditure (cash) this reporting period           | \$   |
| v. In-kind contributions this reporting period                  | \$   |
| vi. Total eligible project value this reporting period (iv + v) | \$   |

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|       |                                                                  |    |
|-------|------------------------------------------------------------------|----|
| vii.  | Estimated expenditure (cash) next reporting period               | \$ |
| viii. | Estimated? In-kind contributions next reporting period           | \$ |
| ix.   | Estimated total project value next reporting period (vii + viii) | \$ |
| x.    | Estimated remaining total project value                          | \$ |

b. Is this project expenditure broadly in line with the activity budget in the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

### 3. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form, to complete your new bank details.

### 4. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the activities identified above are for the purposes stated in the grant agreement.
- I am aware of the grantee's obligations under their grant agreement, including the need to keep the Commonwealth informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]



Australian Government  
Department of Industry, Science,  
Energy and Resources

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Unsuccessful application

Thank you for your application under the Incubator Support initiative.

This is a merit based program. Successful applications had to rate highly against each merit criterion taking into consideration the project size, complexity, grant amount requested, and the risks associated with the project.

Unfortunately your application was not successful as it did not rate sufficiently highly against all of the merit criteria. Please refer to the attached feedback provided on your application against the merit criteria.

Decisions are final and will not be reviewed.

However, you are welcome to submit a new application which includes new or additional information to address the points raised above.

Thank you for your interest in the Incubator Support initiative.

We offer a number of other programs and services to support Australian industry, to find out more visit [www.business.gov.au](http://www.business.gov.au).

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



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Australian Government  
Department of Industry,  
Innovation and Science

# Business

## Incubator Support Variation Request Form

This request form is designed for recipients who would like to make variations to their funding agreement with the Commonwealth.

Please ensure you have read the ***Incubator Support Initiative Guidelines***, in particular ***Section 6*** which sets out the maximum grant funds allowable; ***Section 8*** which sets out the maximum project timeframes; ***Section 9*** which provides information on eligible projects and activities and ***Section 13.5*** which provides information on grant agreement variations.

You may use this form to apply for a variation to your agreed *Incubator Support* project that involves any of the following changes that do not significantly change the project objectives or outcomes:

- Changes to the project period (including changes to annual capped amounts)
- Movement of funds
- Milestone variations

## Incubator Support Initiative - Variation Request Form

**Note to CSMs: Please fill out the information in the table below and the details of the milestones before sending the template to the grantee.**

|                                  |  |                         |  |
|----------------------------------|--|-------------------------|--|
| <b>Project Number</b>            |  |                         |  |
| <b>Organisation Name</b>         |  |                         |  |
| <b>Stream</b>                    |  |                         |  |
| <b>Project Title</b>             |  |                         |  |
| <b>Project Start Date</b>        |  | <b>Project End Date</b> |  |
| <b>Total Expenditure</b>         |  | <b>Grant Amount</b>     |  |
| <b>CSM Name and Phone Number</b> |  |                         |  |

### 1. What is being requested? (select all those that apply)

|                                                                            |                          |
|----------------------------------------------------------------------------|--------------------------|
| Changes to the project period (including changes to annual capped amounts) | <input type="checkbox"/> |
| Movement of funds                                                          | <input type="checkbox"/> |
| Milestone variations                                                       | <input type="checkbox"/> |
| Change to Expert in Residence (EIR only)                                   | <input type="checkbox"/> |

### 2. Provide an overview of the progress of the project to date

*Outline general progress against milestones as listed in your current funding agreement*

| Milestone Name and Description | Percentage Completed (%) | Milestone Start Date (dd/mm/yyyy) | Milestone End Date (dd/mm/yyyy) |
|--------------------------------|--------------------------|-----------------------------------|---------------------------------|
|                                |                          |                                   |                                 |
|                                |                          |                                   |                                 |

### 3. Details of the request

*Describe the variation requested in a few sentences. If you are requesting a change to milestone dates please include the new milestone information in the table below.*

| Milestone Name and Description | Percentage Completed (%) | Milestone Start Date (dd/mm/yyyy) | Milestone End Date (dd/mm/yyyy) |
|--------------------------------|--------------------------|-----------------------------------|---------------------------------|
|                                |                          |                                   |                                 |
|                                |                          |                                   |                                 |

**4. What is the reason for the variation request?**

*Describe the reasons for the variation request including but not limited to:*

- *How it progresses the project or project outcomes*
- *If it reflects problems with project progress and if so how these problems are being resolved*

**5. Are there likely to be any further variations to the project?**

*Outline if there are likely to be any further variations required for the project.*

**6. What is the impact to the project if the variation is not approved?**

*Outline the impact on the project if the variation is not approved including but not limited to:*

- *Changes to project outcomes*
- *Changes to achievement of milestones*

**7. Does this Variation change any of the Merit or Eligibility criteria presented in your original grant application?**

*Explain if the variation request changes or impacts upon the merit or eligibility criteria from your original grant application.*

**8. Certification**

I ..... being a person duly authorised by the grantee hereby certify that:

- The information listed above is accurate, complete and not misleading.
- I am aware of the grantee's obligations under the Incubator Support Initiative grant agreement, including the need to keep the Commonwealth informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.
- I understand that giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).

Signed ..... Date .....

Position/Title .....



**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - Report Overdue**

Your <insert report name> under the Incubator Support initiative grant agreement is overdue.

Your grant agreement outlines your reporting obligations and you are in breach of the agreement for failing to provide this report.

You must provide the outstanding report within <number of days> from the date of this letter otherwise we may choose to terminate the grant agreement.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - Report due reminder**

This is a reminder that your <insert report name> is due on or before <report due date>.

Your report will enable us to assess your progress against the agreed project milestones, and to calculate and process any payments that may be due.

Once we receive a satisfactorily completed report we will process as quickly as possible. We cannot make any further grant payments until we receive a satisfactory report.

Your grant agreement details all your reporting obligations.

If you foresee any problem in submitting the report by its due date, or if you would like to discuss this matter further, please contact me on <phone number>.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry, Science,  
Energy and Resources

## ***Incubator Support Initiative***

### ***Expert in Residence Progress Report CSM Assessment***

Grant recipient:

Grant number: ISI

Project title:

Progress Report period: / / to / /

Customer Service Manager

Grant contact:

Position occupied:

**Note:** All financial information contained within this report, including the grant amount, is net of GST.

#### **1 Project details**

Provide comments where applicable (including whether all activities conducted were within the scope of the original project description, funding agreement and eligible expenditure guidelines):

|     |                                                                                                                                                                                                                                                                                                                        |                                                          |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1.1 | Is work progressing on the project in accordance with the funding agreement and, in particular, the <i>Description and Planned Outcomes and Milestones</i> . Include comments on whether the project is on schedule and if not, what are the delays? Does the grantee consider the milestone/progress to be a success? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|

Provide comments:

|     |                                                                                                                                 |                                                          |
|-----|---------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1.2 | Is there any other available information that relates to the recipient (e.g. awards, media or activity not funded by the grant) | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|-----|---------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|

Provide comments:

#### **2 Payment Calculation**

|      |                                                                             |                                                          |
|------|-----------------------------------------------------------------------------|----------------------------------------------------------|
| 2.1  | Have you completed the Payment Calculation?                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2.2. | Has there been any variance to the recommended payment from the amount due? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Provide comments where applicable:

|                                                       |                                                                       |                                                          |
|-------------------------------------------------------|-----------------------------------------------------------------------|----------------------------------------------------------|
|                                                       |                                                                       |                                                          |
| 2.3                                                   | Has the grantee spent all grant funds related to the progress period? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If no, provide comments and calculate the underspend. |                                                                       |                                                          |

*Note: Expenditure of EIR grant funds are taken at face value, however, if the CSM has concerns regarding the reliability and validity of the information provided in the statement of expenditure, or the grant activities have changed substantially from those outlined in the grant application, CSMs should request further information and evidence from the grantee which demonstrates that the funds were spent in accordance with the grant agreement.*

### 3 Other project matters, activities and events

|                                                                                                                                                                                                                          |                                                                                                                  |                                                          |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 3.1                                                                                                                                                                                                                      | Has the recipient identified any activities that affect compliance or would require a variation or other action? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, what is the basis of the variation or other action:                                                                                                                                                              |                                                                                                                  |                                                          |
| <input type="checkbox"/> Changes to EIR<br><input type="checkbox"/> Delays or issues not already covered elsewhere in this report<br><input type="checkbox"/> Other - please describe:<br>Provide comments, if relevant: |                                                                                                                  |                                                          |
| 3.2                                                                                                                                                                                                                      | Has the grantee identified any activities that should be noted with policy or program management?                | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                        |                                                                                                                  |                                                          |

### 4 Conclusion and Recommendation

Provide a recommendation as to whether the Progress Report should be accepted as satisfactory and payment should be made, or whether further advice will be sought from Program Management and/or the AusIndustry Debt Management team.

### 5 Report Prepared By

CSM Name:

Signature:

Date:

### 6 Report Reviewed By

Authorised Officer Name:

Signature:

Date:

*Note: Please send a copy of the progress report assessment to the Incubator Support Programme Management team at [S22@industry.gov.au](mailto:S22@industry.gov.au).*





**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>

<position>

<organisation name>

<organisation postal address 1>

<organisation postal address 2>

<organisation postal address 3>

<organisation email address>

<department address 1>

<department address 2>

GPO Box 2013

Canberra ACT 2601

p: < state office phone number>

e: <email address>

w: [www.business.gov.au](http://www.business.gov.au)

abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - Progress payment**

Thank you for submitting your progress report for the project period of <report start date> to <report end date>.

We have assessed the report and have received approval from the Program Delegate to make a payment of <insert payment amount>. We will deposit this amount in your nominated bank account shortly. These funds are for use by you in accordance with the terms of the grant agreement.

Note the due dates for future reports we require over the remaining life of the grant agreement. Your agreement details all your reporting obligations and we will send a report due reminder before the next report due date.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>

<signature block 2>

<signature block 3>

<date>



**Australian Government**  
**Department of Industry, Science,  
 Energy and Resources**

## Incubator Support – Expert in Residence Approval and Payment Checklist – Grants under \$50,000

|                                        |                      |                        |                       |
|----------------------------------------|----------------------|------------------------|-----------------------|
| <b>Customer Name:</b>                  | Customer Name        | <b>Project Number:</b> | Project Number        |
| <b>Creditor Code:</b>                  | Creditor Code        | <b>Purchase Order:</b> | Purchase Order Number |
| <b>Total Grant Amount:</b>             | Total Grant Amount   | <b>Payment Amount:</b> | Payment Amount        |
| <b>Grant Agreement Execution Date:</b> | Grant Execution Date |                        |                       |

| Number | Question                                                                                                                                                                                                                                                                     | Response                 |                          |                          |
|--------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
|        |                                                                                                                                                                                                                                                                              | Yes                      | No                       | N/A                      |
| 1      | Has the applicant been deemed eligible and the Expert in Residence Eligibility Checklist been signed off by the appropriate delegate?                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2      | Does the entity have a creditor code in TechOne?                                                                                                                                                                                                                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|        | If yes, what is the creditor code? _____<br>If no, have you completed a Supplier Form and sent to <a href="mailto:S22@industry.gov.au">S 22 @industry.gov.au?</a>                                                                                                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3      | Has the following been entered in SGMS:<br>a. Applicant's creditor code<br>b. Financial plan<br>c. Reports<br>d. Payments<br>e. ABN<br>f. Entity type<br>g. Project start and end dates<br>h. Electorate<br>i. Grant amount<br>j. Key Personnel<br>k. Web Reporting decision | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4      | Has the EL1 completed the Recommendation for the application in SGMS?                                                                                                                                                                                                        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Provide any further comments in relation to the grant approval and payment.



**Australian Government**  
**Department of Industry, Science,  
Energy and Resources**

### CSM Sign Off

I, <CSM name>, confirm that all information has been entered into SGMS and sent to Programme Management and the Strategic Partnerships Finance team to enable approval and payment of the grant.

Signed ..... Date .....

### CSM's Manager Sign Off

I, <EL1 or EL2 Name>, confirm that I have checked all information has been entered into SGMS and sent to Programme Management and the Strategic Partnerships Finance team to enable approval and payment of the grant.

Signed ..... Date .....



Australian Government

Department of Industry, Science,  
Energy and Resources

Your reference no: <reference number>

<title> <first name> <last name>

<position>

<organisation name>

<organisation postal address 1>

<organisation postal address 2>

<organisation postal address 3>

<organisation email address>

<department address 1>

<department address 2>

GPO Box 2013

Canberra ACT 2601

p: < state office phone number>

e: <email address>

w: business.gov.au

abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - End of project and final payment**

Thank you for submitting your end of project report for the final project period of <report start date> to <report end date>.

We have assessed the report and have received approval from the Program Delegate to make a final <GST inclusive> payment of <insert payment amount>. We will deposit this final amount in your nominated bank account shortly.

<Your grant agreement details all your obligations and there are a number which will continue to apply to you.

From the project end date of <insert date> you must:

- keep adequate records of project expenditure for a period of seven years
- <insert obligations and period of time it is in effect>

We may request post project reports to track project outcomes that take effect from the completion of the project. When we require post project reports we will contact you with the details of the reporting requirements.>

On behalf of Incubator Support, I would like to commend you on your efforts in undertaking this project. If we can provide any further assistance, please do not hesitate to contact us.

Yours sincerely

<signature block 1>

<signature block 2>

<signature block 3>

<date>



Australian Government

Department of Industry, Science,  
Energy and Resources

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <program mailbox address>  
w:business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name >

### **Incubator Support - Ineligible application**

Thank you for applying for a grant under the Incubator Support initiative.

Unfortunately your application is not eligible as it does not comply with the program guidelines.  
<We therefore cannot assess your application against the merit criteria>.

In particular, your application did not meet the following requirements:

- <list the eligibility criteria that are not satisfied>

You are welcome to submit a new application which complies with the eligibility criteria.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - Application eligibility**

Your application is eligible and we will now assess it against the merit criteria.

We will inform you in writing of the outcome of the merit assessment process. If you are successful, you will receive a written offer. If you are unsuccessful, you will have an opportunity to discuss the outcome with us.

You must not start your project until we sign a grant agreement with you. We will not accept responsibility for any expenses until a grant agreement is in place.

If you are unsuccessful, we will not provide grant funding to cover any expenses.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government

Department of Industry, Science,  
Energy and Resources

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <email address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

**Incubator Support – <Project Title>.**

Thank you for your application for an *Incubator Support - New and Existing* grant for the above project.

I am writing to advise that the offer of funding for the *Incubator Support* grant has been withdrawn.

#### **REASON**

You may wish to submit a new application at a future round. For further information, refer to the *Incubator Support Program Guidelines* or contact your Regional Incubator Facilitator, <title> <first name> <last name>, who will work with you to submit a regional incubator project should you wish to apply. <first name> can be contacted on <email address>.

Please contact me on <CSM or EL 2 Telephone> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>





**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: [business.gov.au](http://business.gov.au)  
abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - Application withdrawal**

Thank you for informing us that <organisation name> has decided to withdraw its application submitted under the Incubator Support initiative.

We have updated our records.

If we can help in any other way please visit [business.gov.au](http://business.gov.au) or contact me on <phone number>.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



## Application Form

# Incubator Support – Expert in Residence component

An element of the Entrepreneurs' Programme

Version December 2017

This document informs you of the questions we will ask you in the online form when you apply for Incubator Support – Expert in Residence. It will help you prepare your responses and the mandatory attachments you will need before you apply online.

**Do not use this document as your application form. You can only submit an application using the online form when available.**

## Instructions

### About the Incubator Support initiative

The \$23 million Incubator Support initiative supports the Australian Government's commitment to:

- assist Australian start-ups to develop the capabilities required to achieve commercial success in international markets and realise their economic potential faster than they otherwise would
- develop Australia's innovation ecosystem including in regional areas.

The initiative provides grant funding through two components to deliver Incubator Support projects, both of which require a funding contribution from applicants. These are:

- New and Existing Incubators
- Expert in Residence

In addition to these granting components, regional incubator facilitators are available to assist potential applicants, particularly in regional areas, to engage with the initiative.

The initiative will also assist successful applicants to access public data, and will promote start-ups through case studies on the data.gov.au portal.

The objective of the Expert in Residence component is to:

- increase the capabilities of incubators and improve the chance of commercial success for start-ups in international markets by organising and providing access to top quality research, managerial and technical talent through incoming and outgoing secondments of national or international experts.

The initiative's intended outcomes are to:

- support new Australian incubators targeting innovative start-ups to assist them to trade internationally
- expand the scale and operations of existing Australian incubators to increase innovative start-ups' chances of success in international markets
- develop new innovative Australian start-ups with a focus on international markets
- create opportunities for Australian start-ups to develop sustainable businesses through access to open public data.

### Completing this form

You should read the [program guidelines](#) before filling out this application.

This application form contains the following:

- Part A – Eligibility
- Part B – Contact details
- Part C – Applicant information
- Part D – Project details and funding
- Part E – Merit criteria
- Part F – Applicant declaration

## Disclosure of personal and confidential information

The Commonwealth's use and disclosure of both your personal and confidential information (provided in this application or otherwise) is set out in the Incubator Support program guidelines. Ensure that you have read this document and understand the information contained therein. For further information regarding the Department of Industry, Innovation and Science's (the department's) obligations in accordance with the Privacy Act, refer to the department's [Privacy Policy](#)<sup>1</sup>.

## Getting help

If you require assistance completing this application form please contact us on 13 28 46 or at [business.gov.au](#). Our website and staff can help you with forms, finding information and services and allow you to provide feedback, comments or suggestions.

You should also read and understand the program guidelines and sample [grant agreement\(s\)](#) before completing an application. View these documents at [business.gov.au](#).

## Submitting your application

You can apply for Incubator Support at any time over the life of the program.

If you require further guidance, have difficulties completing the form or are unable to use the online form you can contact us on 13 28 46 or at [business.gov.au](#).

---

<sup>1</sup> <https://industry.gov.au/Pages/PrivacyPolicy.aspx>

## A. Eligibility

### A.1. Eligible entities

*This section will help you determine whether you are an entity eligible for the initiative.*

You are required to answer all questions in this section.

Is your organisation an incubator? ☐ yes ☐ no

*We define an incubator as a business support organisation that fosters innovative start-ups, focused on international trade, through the provision of services such as seed funding, colocation, mentoring, professional services and access to networks. It can include accelerators and germinators*

Do you have an ABN? ☐ yes ☐ no

*For trustees applying on behalf of a trust, this refers to the ABN of the trust.*

You must answer 'yes' to both of the questions above to be eligible to apply for this initiative.

Is your organisation an entity, incorporated in Australia? ☐ yes ☐ no

Is your organisation an incorporated trustee applying on behalf of a trust? ☐ yes ☐ no

*You must be able to provide a copy of the trust documents showing the relationship of the incorporated trustee to the trust.*

Is your organisation a publicly funded research organisation? ☐ yes ☐ no

*This includes all higher education providers listed at Table A and Table B of the Higher Education Support Act 2003 (Cth).*

Is your organisation an incorporated not for profit organisation? ☐ yes ☐ no

Is your organisation a local government agency or body? ☐ yes ☐ no

*A local government agency or body is a local governing body as defined in the Local Government (Financial Assistance) Act 1995 (Cth).*

If you have answered 'yes' to any of the questions above you are eligible to apply for this initiative.

### A.2. Additional eligibility criteria

*This section will help you determine whether you comply with additional eligibility criteria for the program.*

You are required to answer all questions in this section.

Will your total eligible project value be at least \$10,000 ☐ yes ☐ no

Does your project involve incoming experts providing expertise and/or outgoing experts visiting a host incubator that will benefit you?

☐ incoming experts

---

☐ outgoing expert

---

#### Incoming experts only

---

Can you confirm the incoming experts involved in your project are not current employees of your incubator? ☐ yes ☐ no

Can you provide a resume for each incoming expert outlining their experience and capabilities? ☐ yes ☐ no

*You will be required to provide a resume for each incoming expert with your application.*

---

#### Outgoing experts only

---

Can you provide a letter of commitment from the host incubator your expert employee is visiting? ☐ yes ☐ no

*You will be required to provide a letter of commitment from the incubator your employee is visiting with your application.*

---

Can you provide a satisfactory summary of your project that describes how the new knowledge will benefit your incubator and innovative start-ups in line with program objectives? ☐ yes ☐ no

*You must provide this summary later in the form.*

---

If you answered 'yes' to the questions above you are eligible to apply for this program.

For further information regarding eligibility requirement for this program refer to the Incubator Support [program guidelines](#).

## B. Contact details

### B.1. Details of primary contact

*Person authorised to act on behalf of the applicant.*

*You must provide at least one phone number. The fields below are mandatory except for title.*

Provide details of the primary contact.

Title

Given name

Family name

Position title

Phone number

Mobile number

Email address

Provide the postal address of the primary contact

Address

Suburb/ town

State/ territory

Postcode

Country Australia

### B.2. Contact's relationship to applicant

Is the applicant the primary contact's employer?

☐ yes ☐ no

If you answered 'yes' go the next question. If you answered 'no' complete the following table.

What is the relationship of the primary contact to the applicant?

Name of primary contact's employer

Australian Business Number (ABN) of primary contact's employer



Provide a contact for the applicant organisation

Title

Given name

Family name

Position title

Phone number

Mobile number

Email address

B.3. How did you hear about the program?

--- Please select ---

If Other, please specify:

## C. Applicant information

### C.1. General information

Are you an existing or new incubator?

☐

new

☐

existing

### C.2. Joint applications

*Joint applications are acceptable, provided you have a lead applicant who is the main driver of the project and is eligible to apply.*

Is this a joint application?

☐

yes

☐

no

If you answered 'yes' to this question the lead applicant must complete this form. If you are unsure whether your application should be a joint application contact us on 13 28 46 or at [business.gov.au](http://business.gov.au)

### C.3. Type of applicant

*In this section you must indicate what type of entity you operate under.*

*All entities must have an ABN*

Select which type of entity your organisation is

☐

a company incorporated in Australia

☐

incorporated trustee on behalf of a trust

☐

publicly funded research organisation (PFRO)

☐

incorporated not for profit organisation

☐

a local government agency or body

☐

other eligible entity

If you selected other incorporated entity please specify.

### C.4. Applicant details

*If you are applying as a trustee on behalf of a trust leave this question blank and go to the next question.*

Australian Business Number (ABN)

Australian Company Number (ACN)

*If applicable*

Legal/ registered entity name

Business/ trading name

*Your business may have registered one or more business names. If you operate under a business or trading name enter these names here.*

GST registered?

☐ yes ☐ no

### C.5. Trustee and trust details

Australian Business Number (ABN) of the trustee

*(if different to trust, otherwise leave blank)*

Australian Company Number (ACN) of the trustee

Legal/ registered entity name of the trustee

Australian Business Number (ABN) of the trust

Legal/ registered entity name of the trust

Business/ trading name

*Your business may have registered one or more business names. If you operate under a business or trading name enter these names here.*

Is the trust GST registered?

☐ yes ☐ no

You must provide a copy of the trust documents showing the relationship of the incorporated trustee to the trust.

### C.6. ANZSIC details

What is your organisation's main revenue earning activity under the Australian and New Zealand Standard Industrial Classification (ANZSIC)?

*The ANZSIC codes and titles are available from the [Australian Bureau of Statistics \(ABS\) website](#). Phone 13 28 46 if you require assistance.*

### C.7. Address details

Provide your **organisation's street address** (Australian Head Office).

Address

Suburb/ town

State/ territory

---

Postcode

---

Provide your **organisation's postal address**.

- ☐ Same as your street address, go to next section.
- ☐ Different to your street address, provide details below.

---

Address

---

---

Suburb/ town

---

---

State/ territory

---

---

Postcode

---

---

Country

---

### C.8. Website address

Provide your organisation's website address.

---

---

### C.9. Project site address

*If your project involves outgoing employee experts working with host incubators, do not include the address of the host incubators as a project site address. Enter the Australian address which will benefit from the activity.*

---

Will your project's activities occur solely at the above listed head office address?

☐ yes ☐ no

---

If you answered 'yes' go the next question. If you answered 'no' complete the following table.

*A Project site address must be a street address not a postal address.*

#### Site address 1

---

Address

---

---

Suburb/ town

---

---

State/ territory

---

---

Postcode

---

---

Country

---

#### Site address 2

---

Address

---

---

Suburb/ town

---

---

State/ territory

---

---

 Postcode
 

---



---

 Country
 

---

### Site address 3

---

 Address
 

---



---

 Suburb/ town
 

---



---

 State/ territory
 

---



---

 Postcode
 

---



---

 Country
 

---

### C.10. Latest financial year figures

---

 Has your organisation existed for a complete financial year? ☐ yes ☐ no
 

---

If you answered 'yes', enter the latest completed financial year, then complete the table below.

*Example entry 2016-17*

---

 If you answered 'no', enter the number of months your organisation has months  
 existed in the financial year to date, then complete the table below.
 

---

*We collect the following data from all applicants across all grant programs. We use this data to better understand your organisation and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000. The turnover value must be that of the incorporated entity that is making the grant application (the 'applicant'), regardless of whether the entity belongs to a consolidated group for tax purposes.*

*These fields are mandatory and entering \$0 is acceptable if applicable for your organisation. If they clearly do not apply to your organisation you may select not applicable.*

| Recent trading performance                                                                                                                                  | Check box if the indicator is not applicable to your organisation | Latest financial year figures |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------|
| Sales revenue (turnover)<br><i>Total revenue from the sale of goods and services, as reported in your organisation's Business Activity Statement (BAS).</i> | <input type="checkbox"/> n/a                                      | \$                            |
| Export revenue<br><i>Total revenue from export sales, as reported in your organisation's Business Activity Statement (BAS).</i>                             | <input type="checkbox"/> n/a                                      | \$                            |

| Recent trading performance                                                                                                                                                                                                                                                                         | Check box if the indicator is not applicable to your organisation | Latest financial year figures |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------|
| <b>R&amp;D expenditure</b><br><i>Expenditure on research and development, i.e. creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications.</i> | <input type="checkbox"/> n/a                                      | \$                            |
| <b>Taxable income</b><br><i>Taxable income or loss as reported in your organisation's income company tax return form.</i>                                                                                                                                                                          | <input type="checkbox"/> n/a                                      | \$                            |
| <b>Employees, including working proprietors and salaried directors (headcount)</b><br><i>Number of individuals who are entitled to paid leave (sick and holiday), or generate income from managing the your organisation.</i>                                                                      | <input type="checkbox"/> n/a                                      |                               |
| <b>Independent contractors (headcount)</b><br><i>Number of individuals engaged by your organisation under a commercial contract (rather than an employment contract) to provide employee-like services on site.</i>                                                                                | <input type="checkbox"/> n/a                                      |                               |

### C.11. Ultimate holding company

|                                                                                               |                              |                             |
|-----------------------------------------------------------------------------------------------|------------------------------|-----------------------------|
| Does your company have an ultimate holding company?                                           | <input type="checkbox"/> yes | <input type="checkbox"/> no |
| If you answered 'yes' complete the following table. If you answered 'no' go to next question. |                              |                             |
| Ultimate holding company ABN (if applicable)                                                  |                              |                             |
| Legal/ registered entity name of ultimate holding company                                     |                              |                             |
| Country of registration of ultimate holding company                                           |                              |                             |

### C.12. Project partner organisation details

If in B1 you indicated that this is a joint application, you are required to provide details of the other project partner organisations in the following table.

| No | Australian Business Number | Australian Company Number | Organisation name |
|----|----------------------------|---------------------------|-------------------|
| 1  |                            |                           |                   |
| 2  |                            |                           |                   |

| No | Australian Business Number | Australian Company Number | Organisation name |
|----|----------------------------|---------------------------|-------------------|
| 3  |                            |                           |                   |
| 4  |                            |                           |                   |
| 5  |                            |                           |                   |

You must attach a letter of support from each of the other organisations involved in the proposal.

*Refer to section 11.2 of the program guidelines for what is required in the letter of support.*

Sample only



## D. Project details and funding

### D.1. Project title and description

*If your application is successful, some project details will be used by the Australian Government in published material. We publish details on the departmental website and [GrantConnect](#). Published project details include:*

- *name of the applicant*
- *a project title*
- *a brief project description and its intended outcomes*
- *amount of funding awarded.*

Provide a project title for publication.

*Example project title: Mentoring and workshops for biotech startups from Singapore startup expert.*

---

70 character limit (approx. 10 words)

Provide a brief project description for publication including the key activities and project outcomes.

*Ensure your project description focuses on your project's key activities and outcomes. Explain what it is you are going to do and how it will benefit your business.*

*Example project description: Singapore serial entrepreneur will provide mentoring and workshops in biotech startups over a 3 month period.*

---

750 character limit (approx. 125 words)

### D.2. Summary of activities and outcomes

Provide a summary of your project, including the key activities and project outcomes.

*Your summary should provide a more detailed description of your project activities and outcomes. We will use this summary in assessing your application.*

*You must demonstrate how your project will increase the capabilities of your incubator and improve the chance of commercial success for start-ups in international markets by organising and providing access to top quality research, managerial and technical talent.*

*Where your project includes an outgoing expert you must describe how the new knowledge will benefit your incubator and innovative start-ups in line with program objectives.*

---

1000 character limit (approx. 160 words)

You may attach up to 3 A4 pages supporting your project.

### D.3. Details of incoming experts in residence

Provide the following details regarding the expert/s involved in your project. You must attach a resume for each expert.

#### Incoming expert 1

---

Title

---

Given name

---

Family name

---

Position title

---

Organisation

---

Mobile number

---

Email address

---

#### Incoming expert 2

---

Title

---

Given name

---

Family name

---

Position title

---

Organisation

---

Mobile number

---

Email address

---

### D.4. Details of outgoing expert and host incubators

Where you have indicated your project involves an outgoing expert visiting a host incubator complete the following. You must attach a letter of commitment from each host incubator.

#### Outgoing expert

Provide the following details regarding the outgoing expert involved in your project.

---

Title

---

Given name

---

Family name

---

Position title

---

Organisation

---

Mobile number

---

Email address

---

### Host incubator 1

Provide details of the host incubator.

Name of host organisation

Provide details of the primary contact at the host incubator.

Title

Given name

Family name

Position title

Phone number

Mobile number

Email address

Provide the street address of the host incubator.

Address

Suburb/ town

State/ territory

Postcode

Country

*You must provide evidence in the form of a letter of commitment to the project, from the host incubator.*

### D.5. Project milestones and key activities.

Provide details on the activities occurring at each milestone.

*The start date of milestone 1 is the expected project start date. The end date of your last milestone activity will be the project end date. You must not start your project until your grant agreement is executed.*

*You must complete your project within 12 months.*

#### Milestone 1

Milestone title

80 character limit (approx. 12 words)

Milestone description

---

500 character limit (approx. 80 words)

Milestone start date

Milestone end date

## Milestone 2

Milestone title

---

80 character limit (approx. 12 words)

Milestone description

---

500 character limit (approx. 80 words)

Milestone start date

Milestone end date

## D.6. Project duration

Enter your project start and end dates.

*Your project start and end dates are a result of the dates you entered into your milestones. If they are not right you will need to modify your milestones.*

---

Project start date

Project end date

## D.7. Project budget

Provide details on your eligible project costs over the life of the project. Your total eligible project value will be made up of eligible expenditure and eligible in-kind contributions.

*Amounts must be GST inclusive less any GST credits that you can claim.*

*Refer to the program guidelines for guidance on total project value. For guidance on eligible expenditure see appendix B. For guidance on ineligible expenditure see appendix C. For guidance on in-kind contributions see appendix D.*

*The minimum total project value is \$10,000.*

#### Eligible expenditure (cash)

| Eligible expenditure item (cash)      | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | Total     |
|---------------------------------------|------------|------------|------------|------------|-----------|
| Labour                                | \$         | \$         | \$         | \$         | \$        |
| Contractors                           | \$         | \$         | \$         | \$         | \$        |
| Workshops and events                  | \$         | \$         | \$         | \$         | \$        |
| Travel and overseas expenditure       | \$         | \$         | \$         | \$         | \$        |
| Other eligible expenditure            | \$         | \$         | \$         | \$         | \$        |
| <b>Sub-total eligible expenditure</b> | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b> |

#### In-kind contributions (non-cash)

| Eligible in-kind contributions (non-cash)              | FY 2017-18 | FY 2018-19 | FY 2019-20 | FY 2020-21 | Total     |
|--------------------------------------------------------|------------|------------|------------|------------|-----------|
| Access to services (e.g. mentoring, business planning) | \$         | \$         | \$         | \$         | \$        |
| Access to facilities                                   | \$         | \$         | \$         | \$         | \$        |
| Other in-kind contributions                            | \$         | \$         | \$         | \$         | \$        |
| <b>Sub-total eligible in-kind contributions</b>        | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b> |
| <b>Total eligible project value</b>                    | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b>  | <b>\$</b> |

*If your application is successful you may be required to submit documents to justify your budget estimate before the grant agreement is finalised.*

#### D.8. Source of funding

Enter the following information to show how you will fund the eligible project costs.

*Amounts must be GST inclusive less any GST credits that you can claim. Note, the minimum grant amount under the program is \$5,000 and the maximum grant amount is \$100,000.*

*Contributions from a partner organisation or other non-government sources are considered an 'applicant' contribution.*

|                                      |    |
|--------------------------------------|----|
| a. Applicant cash contribution (\$A) | \$ |
|--------------------------------------|----|

|                                                    |                     |           |
|----------------------------------------------------|---------------------|-----------|
| b. Program grant amount (\$A)                      |                     | \$        |
| c. Other government grant funding (\$A)            |                     | \$        |
| d. Other government in-kind contribution (\$A)     |                     | \$        |
| e. Applicant in-kind contribution (\$A equivalent) |                     | \$        |
| <b>Total eligible project value (\$A)</b>          |                     | <b>\$</b> |
| f. Applicant cash contribution (%)                 |                     | %         |
| g. Grant (%)                                       |                     | %         |
| h. Other government contribution (%)               | (Cannot exceed 10%) | %         |
| i. In-kind contribution (%)                        | (Cannot exceed 10%) | %         |

*For all applicants other than local government, the maximum contribution from other government sources is 10 per cent of eligible project value. Government sources include Commonwealth, state, territory or local government. These contributions can be cash or in-kind. Where a contribution from another government source is in-kind it counts as both a contribution from another government source and an in-kind contribution.*

#### D.9. Other government contributions (cash and in-kind)

If you are receiving other government grant funding as indicated in the table above, provide details of the other government grant funding.

| Program name | Funding amount/in-kind contribution |
|--------------|-------------------------------------|
|              | \$                                  |
|              | \$                                  |
| <b>Total</b> | <b>\$</b>                           |

#### D.10. Your contribution (cash and in-kind)

To describe your funding strategy for the project enter the required information below and provide the following attachments.

| Funding type         | Amount (\$A) | Details |
|----------------------|--------------|---------|
| Cash flow            | \$           |         |
| Loans                | \$           |         |
| Equity               | \$           |         |
| Other                | \$           |         |
| In-kind contribution | \$           |         |

| Funding type | Amount (\$A) | Details |
|--------------|--------------|---------|
| Total        | \$           |         |

You are required to provide an Accountant Declaration (for grants over \$50,000) to confirm your business can fund its share of the project costs. You must use the template provided at [business.gov.au](http://business.gov.au).

Sample only



## E. Merit criterion

*For grants over \$50,000 you are required to address the following merit criterion.*

*To be competitive you will need to score highly against the merit criterion. The amount of detail and supporting evidence you provide should be commensurate with the project size, complexity and grant amount requested. You should define, quantify and provide evidence to support your answers.*

*You may attach any other documents that support your application and/or claims made in relation to the merit criteria.*

### E.1. Merit criterion

#### **Benefit to your incubator, start-ups and the broader innovation ecosystem**

*Describe the distinct value proposition of your incubator. Outline the gap in the market that your project will address and describe how your project will address this gap in terms of two or more of the following outcomes.*

- a. improving the commercial prospects of innovative start-ups in international markets*
- b. developing Australia's innovation ecosystem so that innovative start-ups can thrive and flourish in international markets*
- c. developing the capability of incubators to facilitate and foster innovative start-ups with the potential to operate in international markets*
- d. developing new incubators' capabilities in regional Australia, that support internationally focussed start-ups*
- e. developing and collaborating with start-ups that use public data as part of their business.*

---

*Approx. 825 word or 5000 character limit*

*You should attach evidence such as demand for services, market gap analysis, opportunity analysis and third party research.*

## F. Applicant declaration

### F.1. Privacy and confidentiality provisions

I acknowledge that this is an Australian Government program and that the department will use the information I provide in accordance with the following

- [Australian Government Public Data Policy Statement](#)
- [Commonwealth Grants Rules and Guidelines](#)
- program guidelines
- applicable Australian laws.

Accordingly, I understand that the department may share my personal information provided in this application within this department and with other government agencies:

- a. for purposes directly related to administering the program, including governance, research and the distribution of funds to successful applicants and
- b. to facilitate research, assessment, monitoring and analysis of other programs and activities unless otherwise prohibited by law.

I understand that information that is deemed 'confidential' in accordance with the program guidelines may also be shared for a relevant Commonwealth purpose.

The department will publish information on individual's grants in the public domain, including on the department's website, unless otherwise prohibited by law.

## F.2. Applicant declaration

I declare that I have read and understood the program guidelines, including the privacy, confidentiality and disclosure provisions.

I declare that the proposed project outlined in this application and any associated expenditure has been endorsed by the applicant's Board or person with authority to commit the applicant to this project.

I declare that the applicant will comply with, and require that its subcontractors and independent contractors comply with, all applicable laws.

I declare that the information contained in this application together with any statement provided is, to the best of my knowledge, accurate, complete and not misleading and that I understand that giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).

I acknowledge that I 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 applicant's claims and may also engage external technical or financial advisors to advise on information provided in the application.

I acknowledge that if the department is satisfied that any statement made in an application is incorrect, incomplete, false or misleading, or I become unable to meet any of the above obligations, the department may, at its absolute discretion, take appropriate action. I note such action may include excluding an application from further consideration; withdrawing an offer of funding; using the information contained in the application for a fraud investigation that would be consistent with the Australian Government's Investigations Standard and Fraud Control Guidelines and for management purposes and/or terminating any grant agreement between the Commonwealth and the recipient including recovering funds already paid.

I agree to participate in the periodic evaluation of the services undertaken by the department.

I declare that I am authorised to complete and submit this form and acknowledge that by including my name in this application I am deemed to have signed this application.

I approve the information in this application being communicated to the department in electronic form.

---

☐ By checking this box I agree to all of the above declarations and confirm all of the above statements to be true

---



**Australian Government**  
**Department of Industry, Science,  
Energy and Resources**

AusIndustry  
<Insert State office address>  
<Insert State office suburb, state,  
postcode>  
GPO Box 2013  
Canberra ACT 2601 Australia  
Web: [www.industry.gov.au](http://www.industry.gov.au)  
ABN: 74 599 608 295

<Insert contact name>  
<Insert contact title>  
<Insert company name>  
<Insert address>  
<Insert suburb, state, postcode>

Dear <Insert contact name>

***Incubator Support Initiative – Expert in Residence***

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

Thank you for the final report for your project funding under the Incubator Support Initiative – Expert in Residence. Your report has been assessed and found to meet all requirements under the Funding Agreement by the Programme Delegate.

[A final <GST inclusive> payment of <insert payment amount>, will be deposited into your nominated bank account shortly.] *(To be used where a final payment is to be paid).*

You are also reminded that there are a number of obligations under the Funding Agreement which will continue to apply to your company. Specifically, clauses 3, 4, 5 and 7 survive the Funding Agreement.

On behalf of Incubator Support, I would like to commend you on your efforts in undertaking this project. If AusIndustry can provide any further assistance, please do not hesitate to contact us.

If you have any queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>  
<insert CSM title>  
<insert CSM state office> - AusIndustry  
Department of Industry, Innovation and Science  
<Insert date>



**Australian Government**

**Department of Industry, Science,  
Energy and Resources**

Your reference no: <reference number>

<title> <first name> <last name>

<position>

<organisation name>

<organisation postal address 1>

<organisation postal address 2>

<organisation postal address 3>

<organisation email address>

<department address 1>

<department address 2>

GPO Box 2013

Canberra ACT 2601

p: < state office phone number>

e: <email address>

w: business.gov.au

abn: 74 599 608 295

Dear <title> <first name> < last name>

### **Incubator Support - End of project**

Thank you for submitting your end of project report.

Your grant agreement details all your obligations and there are a number which will continue to apply to you.

From the project end date of <insert date> you must:

- keep adequate records of project expenditure for a period of five years
- <insert obligations and period of time it is in effect>

We may request post project reports to track project outcomes that take effect from the completion of the project. When we require post project reports we will contact you with the details of the reporting requirements.

On behalf of Incubator Support, I would like to commend you on your efforts in undertaking this project. If we can provide any further assistance, please do not hesitate to contact us.

Yours sincerely

<signature block 1>

<signature block 2>

<signature block 3>

<date>



Australian Government

Department of Industry, Science,  
Energy and Resources

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: **S 22** @industry.gov.au  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

### Incubator Support - Executed grant agreement

Thank you for accepting the Expert in Residence grant offer made to you. This letter is to confirm that we received your signed copy of Attachment A (grant schedule), Attachment B (grant terms and conditions), and the Supplier Details form on <date>, and as of that date you entered into a binding grant Agreement with the Commonwealth of Australia.

The Grant Agreement includes the letter of offer, the grant schedule (attachment A), the grant terms and conditions (attachment B), the reporting templates (attachment C), your application, and the program guidelines applicable on the date you submitted your application.

You should note the due dates for any reports we require over the life of the agreement. If you are unable to provide a report on time you must tell us the reason before the due date.

**[For EIR grants under \$50,000 and less than six months]** Once you have provided us with evidence that you have formally engaged your expert/s, we will pay the Grant into the bank account nominated by you in the Supplier Details form within 28 days.

**[For all other EIR grants]** Once you have provided us with evidence that you have formally engaged your expert/s, we will make an initial payment into the bank account nominated by you in the Supplier Details form within 28 days. Remaining grant payments will only be made after we receive a satisfactory report and confirm you have met the necessary obligations in the grant agreement.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<CSM>  
<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

**Template Instructions:** Note that this agreement is considered to be executed when we receive the signed documents from the grantee. Please ensure that you retain evidence of the date received and record the appropriate date in SGMS.

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>

<department address 1>  
<department address 2>  
<department postal address 1>  
<department postal address 2>  
p: < state office phone number>  
e: < **S 22** @industry.gov.au>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> <last name>

## Your application has been successful

I am writing to offer you a Grant under the Incubator Support initiative.

### The grant agreement

This letter is an offer to enter into a binding grant agreement (Agreement) between <organisation name> ABN <organisation ABN> (Grantee/you) and the Commonwealth of Australia as represented by the Department of Industry, Innovation and Science (Commonwealth/we).

The Agreement includes:

- this letter
- the grant schedule (attachment A)
- the grant terms and conditions (attachment B)
- the reporting templates (attachments C and D)
- your application
- the program guidelines applicable on the date you submitted your application.

We may use information contained in this Agreement for public reporting purposes, including the grantee name and grant amount.

### What you must do

To accept this offer and enter into this Agreement with the Commonwealth, complete the attached Accounts Payable - Supplier Details form and sign attachment A. Then send or email a scanned copy of this letter, the Supplier Details form, attachment A and attachment B to the address above by <insert date>, otherwise this offer will lapse. The Agreement takes effect from the date we receive your signed attachment A.

In addition to this, we will also require a copy of the contract you have executed with your nominated Expert(s), or other evidence to demonstrate your intentions of entering into a formal



agreement with the Expert(s), within 14 days of accepting this offer. We may choose to withhold payment of your grant until this has been provided.

You must undertake the Project in line with this Agreement. You must only spend the Grant on eligible activities required to undertake the Project. [You must provide a progress report outlining progress and expenditure on the Project, by the due date. You can find a sample report at attachment C.]

If you spend any amount of the Grant on activities not identified in the Project, or if you have a Grant amount unspent at the Project end date, you will need to repay those amounts to the Commonwealth.

You must provide a progress report, if required, and a final report which includes a statement that you spent the Grant in accordance with this Agreement, by the due date. You can find sample report templates at attachment C.

We will send you a report template to complete after you finish your Project.

If you make a public statement or publish any material about your Project you must acknowledge the grant by using the following: 'This project is supported by the Australian Government Department of Industry, Innovation and Science through Incubator Support initiative funding as part of the Entrepreneurs' Programme'. You must not use the Commonwealth Coat of Arms in connection with the Grant or the Activity without the Commonwealth's prior written approval.

You must notify us about events relating to the Project and provide an opportunity for the Minister or their representative to attend.

### **What the Commonwealth will do**

[For Expert in Residence grants under \$50,000 and less than six months]

We will pay the Grant into the bank account that you nominate in the Supplier Details form within 28 days of receiving your signed agreement documents.

[For all other grants]

We will make an initial payment into the bank account that you nominate in the Supplier Details form within 28 days of receiving your signed agreement documents.

We will pay your initial payment and subsequent payments up to six months in advance, based on your forecast eligible project expenditure, and adjusted for unspent amounts from previous payments, subject to available funds and satisfactory progress on the project. We will retain a minimum 10% of the total grant funding for the final payment when you submit a satisfactory final report demonstrating you have met end of project reporting obligations.

We may notify you of issues or concerns with the project and withhold the Grant if we consider that you are unable to undertake the project in accordance with this Agreement. We will pay the Grant once you have corrected the issues raised in the notice.

**Any questions?**

If you have any questions please contact <CSM name> on <CSM phone number>.

Yours sincerely

<signature block 1>

<signature block 2>

<signature block 3>

<date>

**Template Instructions:** Under the draft Duty Statement an EL1 or EL 2 must sign the Exchange of Letters

**Attachment A - Grant schedule****Template Instructions:**

Delete all rows that are not relevant to the project.

|                                                              |                                               |
|--------------------------------------------------------------|-----------------------------------------------|
| <b>Program</b>                                               | Incubator Support – Expert in Residence       |
| <b>Grantee</b>                                               | <organisation name>                           |
| <b>Grantee ABN</b>                                           | <organisation ABN>                            |
| <b>Project</b>                                               | <project name>                                |
| <b>Project number</b>                                        | <project number>                              |
| <b>Project description</b>                                   | <project activities> <project outcome>        |
| <b>Project start date</b>                                    | <project start date>                          |
| <b>Project end date</b>                                      | <project end date>                            |
| <b>Total eligible expenditure</b>                            | \$<total eligible expenditure>                |
| <b>Total eligible in-kind contributions</b>                  | \$<total eligible in-kind contributions>      |
| <b>Total eligible project value</b>                          | \$<total eligible project value>              |
| <b>Grant percentage</b>                                      | Up to <grant percentage>                      |
| <b>Total /maximum Grant</b>                                  | \$<funding amount>(plus GST where applicable) |
| <b>Capped amount in financial year<br/>&lt;yyyy-yy 1&gt;</b> | \$<amount year 1> (plus GST where applicable) |
| <b>Capped amount in financial year<br/>&lt;yyyy-yy 2&gt;</b> | \$<amount year 2> (plus GST where applicable) |
| <b>Name of incoming expert</b>                               | <name of incoming expert 1>                   |
| <b>Name of incoming expert</b>                               | <name of incoming expert 2>                   |
| <b>Name of outgoing expert</b>                               | <name of outgoing expert >                    |
| <b>Name of host incubator</b>                                | <name of host incubator 1>                    |
| <b>Name of host incubator</b>                                | <name of host incubator 2>                    |
| <b>Name of host incubator</b>                                | <name of host incubator 3>                    |
| <b>Progress report due date</b>                              | < report due date>                            |
| <b>Final report due date</b>                                 | <project end date + 60 days>                  |
| <b>Agreement end date</b>                                    | <project end date + 160 days>                 |

## Signatures

**Template Instructions:** Use this signature block if Grantee is a company. – make sure that ABN or ACN is included with organisation name

Note that if there is only one person in the Director Company Secretary positions the second signatory section needs to be changed to be that of a Witness. The CSM should carry out an ASIC extract to check the people in the Director(s)/Company Secretary roles.

Trusts: If the grantee is an incorporated trustee on behalf of trust, make sure that you use the name of the trustee (NOT the Trust) as the name of the Grantee- as the trustee is the legal entity entering into the Agreement. If requested by the Grantee, the words 'as trustee of the XXX Trust' could be included at the end of the name.

I agree to the terms and conditions outlined in this grant.

|                                                       |                      |
|-------------------------------------------------------|----------------------|
| <b>Full legal name of the Grantee</b>                 | <organisation> <ABN> |
| <b>Director's name</b><br>(print)                     |                      |
| <b>Signature</b>                                      |                      |
| <b>Date</b>                                           |                      |
| <b>Director and/or Company Secretary name</b> (print) |                      |
| <b>Signature</b>                                      |                      |
| <b>Date</b>                                           |                      |

[or]

**Template Instructions:** Use this signature block if Grantee is an Incorporated Association; make sure ABN or other registration number is included with organisation name

|                                         |                      |
|-----------------------------------------|----------------------|
| <b>Full legal name of the Grantee</b>   | <organisation> <ABN> |
| <b>Public Officer's name</b><br>(print) |                      |

|                                                   |  |
|---------------------------------------------------|--|
| <b>Signature</b>                                  |  |
| <b>Date</b>                                       |  |
| <b>Committee member/Secretary name</b><br>(print) |  |
| <b>Signature</b>                                  |  |
| <b>Date</b>                                       |  |

[or]

**Template Instructions:** Use this signature block if Grantee is a Publically Funded Research Organisation (PFRO)

|                                             |                                                                         |
|---------------------------------------------|-------------------------------------------------------------------------|
| <b>Full legal name of the Grantee</b>       | [insert name of Publically Funded Research Organisation (PFRO) and ABN] |
| <b>Authorised Representative</b><br>(print) |                                                                         |
| <b>Position</b><br>(print)                  |                                                                         |
| <b>Signature</b>                            |                                                                         |
| <b>Date</b>                                 |                                                                         |
| <b>Witness name</b><br>(print)              |                                                                         |
| <b>Signature</b>                            |                                                                         |

|             |  |
|-------------|--|
| <b>Date</b> |  |
|-------------|--|

[or]

|                                                                                             |
|---------------------------------------------------------------------------------------------|
| <b>Template Instructions:</b> Use this signature block if Grantee is a Local Governing Body |
|---------------------------------------------------------------------------------------------|

I agree to the terms and conditions outlined in this grant.

|  |
|--|
|  |
|--|

|                                             |                                               |
|---------------------------------------------|-----------------------------------------------|
| <b>Full legal name of the Grantee</b>       | [insert name of Local Governing Body and ABN] |
| <b>Authorised Representative</b><br>(print) |                                               |
| <b>Position</b><br>(print)                  |                                               |
| <b>Signature</b>                            |                                               |
| <b>Date</b>                                 |                                               |
| <b>Witness name</b><br>(print)              |                                               |
| <b>Signature</b>                            |                                               |
| <b>Date</b>                                 |                                               |

## Attachment B Grant Terms and Conditions

### 1. Notices

The Grantee agrees to promptly notify the Commonwealth of anything reasonably likely to affect the performance of the Grant Activity, including any actual, perceived or potential conflict of interest which could affect the Grantee's performance of this Agreement and to take action to resolve the conflict.

### 2. Payment of the Grant

2.1 The Commonwealth agrees to pay the Grant to the Grantee in accordance with this Agreement.

2.2 The parties agree that the amount of the Grant is inclusive of any GST payable and the Grantee agrees to pay all taxes, duties and government charges in connection with the performance of this Agreement.

2.3 Where applicable, the parties acknowledge and agree that they are each registered for GST purposes, have each quoted their Australian Business Number to the other and must notify the other of any changes in their GST status. The Grantee agrees that the Commonwealth will issue the Grantee with a recipient created tax invoice, and the Grantee will not issue any tax invoices, for any taxable supply the Grantee makes under this Agreement.

### 3. Spending the Grant

3.1 The Grantee agrees to spend the Grant for the sole purpose of undertaking the Grant Activity, and to provide a statement, in the form required by the Commonwealth and signed by the Grantee, verifying that the Grant Activity has been undertaken and the Grant was spent in accordance with this Agreement.

### 4. Repayment

If any of the Grant has been spent other than in accordance with this Agreement or on expiration or termination of this Agreement is additional to the requirements of the Grant Activity, the Grantee agrees to repay that amount to the Commonwealth, unless the Commonwealth agrees in writing otherwise.

### 5. Record keeping

The Grantee agrees to maintain records of the performance of the Grant Activity and the expenditure of the Grant and to make them available to the Commonwealth on request.

### 6. Privacy

When dealing with Personal Information (as defined in the *Privacy Act 1988*) in carrying out the Activity, the Grantee agrees not to do anything which, if done by the Commonwealth, would be a breach of an Australian Privacy Principle.

### 7. Grant Activity material

The Grantee gives (or procures for) the Commonwealth a non-exclusive, irrevocable, royalty-free licence to use, reproduce, communicate, publish and adapt all material that is provided to the Commonwealth under this Agreement. This includes a right to sub-license that material.

### 8. Confidentiality

A party agrees not to disclose the other's confidential information without its prior written consent unless required or authorised by law or Parliament.

### 9. Insurance

The Grantee agrees to maintain adequate insurance for the duration of this Agreement and provide the Commonwealth with proof when requested.

### 10. Indemnities

10.1 The Grantee indemnifies the Commonwealth, its officers, employees and contractors against any claim, loss or damage arising in connection with the Activity.

10.2 The Grantee's obligation to indemnify the Commonwealth will reduce proportionally to the extent any act or omission involving fault on the part of the Commonwealth contributed to the claim, loss or damage.

### 11. Licences and approvals

The Grantee must ensure that all persons engaged to work on the Grant Activity obtain and maintain all relevant licences, registrations or other approvals required by applicable laws or as directed by the Commonwealth, including but not limited to police checks, Working With Children checks and Working with Vulnerable People checks.

### 12. Dispute resolution

12.1 The parties agree not to initiate legal proceedings in relation to a dispute unless they have tried and failed to resolve the dispute by negotiation.

12.2 The parties agree to continue to perform their respective obligations under this Agreement where a dispute exists.

12.3 The procedure for dispute resolution does not apply to action relating to termination or urgent litigation.

### 13. Termination for default

The Commonwealth may terminate this Agreement by notice if it reasonably believes the Grantee:

- a. has breached this Agreement; or
- b. has provided false or misleading statements in their application for the Grant; or
- c. will be unable to complete the Grant Activity; or
- d. has become bankrupt or insolvent, entered into a scheme of arrangement with creditors, or come under any form of external administration.

The Commonwealth will not be required to make any further payments of the Grant after the termination of the Agreement.

### 14. General provisions

14.1 A party is not by virtue of this Agreement an employee, agent or partner of the other party.

14.2 This Agreement may only be varied by the parties' signed written agreement.

14.3 Clauses 3 (Spending of the Grant), 4 (Repayment), 5 (Record keeping), and 7 (Grant Activity material) survive the expiry or termination of this Agreement.



**Attachment C****Incubator Support - Expert in Residence  
progress report**

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                 |                                                                                  |
|-----------------|----------------------------------------------------------------------------------|
| Project number  | [project number]                                                                 |
| Grantee name    | [grantee name]                                                                   |
| Project title   | [project title]                                                                  |
| Progress period | [project period start date] to [project period end date] as per grant agreement] |

**1. Project progress**

a) Complete the following table, updating for all milestones. Add rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) as at reporting period |
|----|---------------------------|------------------------|-------------------------------------|--------------------------------------------------------|
| 1. | [milestone 1 description] | [dd/mm/yy]             |                                     |                                                        |
| 2. | [milestone 2 description] | [dd/mm/yy]             |                                     |                                                        |
| 3. | [milestone 3 description] | [dd/mm/yy]             |                                     |                                                        |
| 4. | [milestone 4 description] | [dd/mm/yy]             |                                     |                                                        |

b) Describe the eligible activities you have completed during this reporting period, including your progress against milestones and any outcomes achieved. If applicable, comment on why your progress is delayed.

c) Is the overall project proceeding as per your project plan and grant agreement?

Yes ☐ No ☐

If no, identify any changes or anticipated issues. Comment on any impacts on project timing and outcomes and how you expect to manage these.

- d) Are there any planned events relating to the project that you are required to notify us about in accordance with your agreement? ☐ yes ☐ no

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

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## 2. Eligible project value summary

- a) Complete the following table explaining the:

- i. expenditure incurred and in-kind contribution provided prior to this report,
- ii. expenditure incurred and in-kind contribution for this reporting period, and
- iii. estimated future expenditure and in-kind contribution for the next reporting period.

All figures must be GST inclusive less GST inputs you can claim.

| Eligible project value                                              | Cost |
|---------------------------------------------------------------------|------|
| 1. Eligible expenditure (cash) to date                              | \$   |
| 2. In-kind contributions to date                                    | \$   |
| 3. Total eligible project value to date (i + ii)                    | \$   |
| 4. Eligible expenditure (cash) this reporting period                | \$   |
| 5. In-kind contributions this reporting period                      | \$   |
| 6. Total eligible project value this reporting period (iv + v)      | \$   |
| 7. Estimated expenditure (cash) next reporting period               | \$   |
| 8. In-kind contributions next reporting period                      | \$   |
| 9. Estimated total project value next reporting period (vii + viii) | \$   |
| 10. Estimated remaining total project value                         | \$   |

- b) Is this project expenditure broadly in line with the activity budget in the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

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## 3. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form, to complete your new bank details.

#### 4. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the activities identified above are for the purposes stated in the grant agreement.
- I am aware of the grantee's obligations under their grant agreement, including the need to keep the Commonwealth informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]

**Attachment D****Incubator Support - Expert in Residence  
final project report**

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                |                                            |
|----------------|--------------------------------------------|
| Project number | [project number]                           |
| Grantee name   | [grantee name]                             |
| Project title  | [project title]                            |
| Project period | [project start date] to [project end date] |

**1. Project achievement**

- a) Complete the following table, updating for all milestones shown in the activity schedule of your grant agreement. Add rows as required.

*Short projects may not have milestones so leave this section blank.*

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) |
|----|---------------------------|------------------------|-------------------------------------|---------------------------------|
| 1  | [milestone 1 description] | [dd/mm/yy]             |                                     |                                 |
| 2  | [milestone 2 description] | [dd/mm/yy]             |                                     |                                 |

- b) Briefly outline the project milestones and activities completed by the project end date. If applicable, comment on why all milestones were not completed by the project end date.

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- c) Attach agreed evidence to demonstrate successful completion of your project. List the attached documents below against the relevant activities.

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**2. Project outcomes**

- a) Outline the project outcomes achieved by the project end date.

*Did you achieve the project outcomes as anticipated? What area(s) did your expert in residence deliver services on? Was it in relation to a particular sector, market or area of business development? Describe the number of workshops, information sessions, mentoring activities or events that were delivered; how many start ups benefited from the expert in residence services?*

*What new knowledge was gained by your outgoing expert? How has this new knowledge benefitted the incubator and start-ups?*

b) Do the achieved project outcomes align with those specified in the grant agreement?

Yes ☐ No ☐

If no, explain why.

c) Attach copies of any published reports and promotional material, relating to the project, and list them below.

d) Are there any planned events relating to the project that you are ☐ yes ☐ no required to notify us about in accordance with your agreement?

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

### 3. Project benefits

a) Explain how your project will continue to have an impact now that the grant project has finished.

b) Outline the number and type of Expert in Residence services that were provided to start up participants through your incubator.

*Examples of these may include advice or services for business capability; financial; marketing; product development; resourcing; access to facilities and equipment; workshops; mentoring; events.*

c) What was the key benefit of the Expert in Residence grant to your incubator?

d) Would you undertake the same project again?

### 3.1 Incoming expert projects

|    | Question                                                                                                                                                                                                                                                                                                                                                            | Number |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| a) | How many start-up participants accessed the services specifically provided by your incoming experts?                                                                                                                                                                                                                                                                |        |
| b) | How many start-up participants, located in regional areas accessed the services specifically provided by your incoming experts?<br><i>The <u>regional locator tool</u> will assist you to determine if a start-up is regional. We consider all start-ups located in Inner Regional, Outer Regional, Remote and Very Remote classification areas to be regional.</i> |        |
| c) | How many new business networks have you established as a result of the Incubator Support grant?<br>Examples include strategic or investment partnerships; collaborations; researchers, mentors, advisers and supply chain networks.                                                                                                                                 |        |
| d) | How many of your visiting experts have international experience?                                                                                                                                                                                                                                                                                                    |        |
| e) | How many of your visiting experts have travelled from outside Australia to work within your incubator?                                                                                                                                                                                                                                                              |        |
| f) | How many of your international experts will be remaining in Australia for an extended period or indefinitely?                                                                                                                                                                                                                                                       |        |

### 3.2 Outgoing expert projects

a) How has the new knowledge gained by the outgoing expert benefited your incubator and start ups?

## 4. Total eligible expenditure incurred for your project

a) Complete the following tables recording your actual expenditure and in-kind contributions incurred on your project. All expenditure should be GST inclusive, less GST credits you can claim.

*Refer to the program guidelines or contact us if you have any questions about eligible expenditure.*

| Eligible expenditure items            | Total (GST inclusive less any GST credits you can claim) |
|---------------------------------------|----------------------------------------------------------|
| Labour                                | \$                                                       |
| Contractors                           | \$                                                       |
| Workshops, conferences and events     | \$                                                       |
| Travel and overseas expenditure       | \$                                                       |
| Equipment (including software)        | \$                                                       |
| Other eligible expenditure            | \$                                                       |
| <b>Sub total eligible expenditure</b> | <b>\$</b>                                                |

| In-kind contributions (non-cash)                       | Total (GST inclusive less any GST credits you can claim) |
|--------------------------------------------------------|----------------------------------------------------------|
| Access to services (e.g. mentoring, business planning) | \$                                                       |
| Access to facilities (e.g. office accommodation)       | \$                                                       |
| Access to resources (e.g. ICT software)                | \$                                                       |
| Other in-kind contributions                            | \$                                                       |
| <b>Sub total eligible in-kind contributions</b>        | <b>\$</b>                                                |

|                                                                  |           |
|------------------------------------------------------------------|-----------|
| <b>Total eligible project value (total of both tables above)</b> | <b>\$</b> |
|------------------------------------------------------------------|-----------|

b) Was the total eligible project value incurred in accordance with the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

c) How much cash was invested in your project? Include all investment except this grant. This includes any private sector, other government, your own contributions or partner contributions. Complete the following table and add rows as required.

| Contributor       | Contribution (GST excl) |
|-------------------|-------------------------|
| Grantee           | \$                      |
| [Name of partner] | \$                      |



## 5. Updated business indicators

- a) Complete the following table with regard to your organisation only. These fields are mandatory and entering \$0 is acceptable if applicable. If they clearly do not apply to your organisation you may select not applicable.

*We collect the following data from all grantees across all grant programs. We use this data to better understand your business and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000.*

| Recent trading performance                                                           | Latest complete financial year<br>[yyyy-yy] |
|--------------------------------------------------------------------------------------|---------------------------------------------|
| Sales revenue (turnover)                                                             | \$                                          |
| Export revenue                                                                       | \$                                          |
| R&D expenditure                                                                      | \$                                          |
| Taxable income                                                                       | \$                                          |
| Number of employees including working proprietors and salaried directors (headcount) |                                             |
| Number of independent contractors (headcount)                                        |                                             |

## 6. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form to complete your new bank details.

## 7. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the grant was spent in accordance with the grant agreement
- I am aware of the grantee's obligations under their grant agreement, including survival clauses.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]





Australian Government  
Department of Industry,  
Innovation and Science

# Business

## Incubator Support Initiative

### New and Existing – Progress Report CSM Assessment

Grant recipient:

Grant number: ISI

Project title:

Project period: / / to / /

Customer Service Manager

Grantee contact:

Position occupied:

**Note:** All financial information contained within this report, including the grant amount, is net of GST.

#### 1 Project Progress

|                                                  |                                                                                                                                                                                                                                                                                                                        |                                                          |
|--------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1.1                                              | Has the progress report been provided as required under the funding agreement? (within 30 days of due date)                                                                                                                                                                                                            | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If "No", what reasons were given for being late? |                                                                                                                                                                                                                                                                                                                        |                                                          |
| 1.2                                              | Is work progressing on the project in accordance with the funding agreement and, in particular, the <i>Description and Planned Outcomes and Milestones</i> . Include comments on whether the project is on schedule and if not, what are the delays? Does the grantee consider the milestone/progress to be a success? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                |                                                                                                                                                                                                                                                                                                                        |                                                          |
| 1.3                                              | Is actual eligible project expenditure for the period consistent with previous forecasts?                                                                                                                                                                                                                              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                |                                                                                                                                                                                                                                                                                                                        |                                                          |
| 1.4                                              | Are the grantee's estimates of future expenditure reasonable taking account of the project's progress?                                                                                                                                                                                                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                |                                                                                                                                                                                                                                                                                                                        |                                                          |
| 1.5                                              | Do you have any concerns about the grantee's ongoing ability to match funds?                                                                                                                                                                                                                                           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                |                                                                                                                                                                                                                                                                                                                        |                                                          |
| 1.6                                              | Is there any other available information that relates to the grantee (e.g. awards, media or activity not funded by the grant) that impacts on the grantee's project progress?                                                                                                                                          | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, provide comments:                        |                                                                                                                                                                                                                                                                                                                        |                                                          |

## 2 Payment Calculation

|                                                                                                                |                                                                                  |                                                          |
|----------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|----------------------------------------------------------|
| 2.1                                                                                                            | Have you completed the Payment Calculation?                                      | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments (if appropriate):                                                                             |                                                                                  |                                                          |
| 2.2                                                                                                            | Has there been any variance to the recommended payment from the amount forecast? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                              |                                                                                  |                                                          |
| 2.3                                                                                                            | Have there been any significant changes to approved heads of expenditure?        | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments, including (if applicable) whether a variation will be required to the annual capped amounts. |                                                                                  |                                                          |

## 3 Other Project Matters, Activities and Events

|                                                                                                                                                                                                                                                                                                    |                                                                                                                |                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 3.1                                                                                                                                                                                                                                                                                                | Has the grantee identified any activities that affect compliance or would require a variation or other action? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, what is the basis of the variation or other action:                                                                                                                                                                                                                                        |                                                                                                                |                                                          |
| <input type="checkbox"/> company ownership/control/structure<br><input type="checkbox"/> changes to key personnel<br><input type="checkbox"/> delays or issues not already covered elsewhere in this report<br><input type="checkbox"/> other - please describe:<br>Provide comments, if relevant: |                                                                                                                |                                                          |
| 3.2                                                                                                                                                                                                                                                                                                | Has the grantee identified any activities that should be noted with policy or program management?              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If yes, provide comments:                                                                                                                                                                                                                                                                          |                                                                                                                |                                                          |

## 4 Conclusion and Recommendation

Provide a recommendation as to whether the Progress Report should be accepted as satisfactory and payment made or whether further advice will be sought from Programme Management and/or the AusIndustry Debt Management team.

## 5 Report Prepared By

CSM Name:

Signature:

Date:

## 6 Report Reviewed By

Authorised Officer Name:

Signature:

Date:

Note: Please send a copy of the final report assessment to the Incubator Support Programme Management team at [S 22 @industry.gov.au](mailto:S22@industry.gov.au).



Australian Government  
Department of Industry,  
Innovation and Science

# Business

AusIndustry

<Insert State office address>

<Insert State office suburb, state,  
postcode>

GPO Box 2013

Canberra ACT 2601 Australia

Web: [www.industry.gov.au](http://www.industry.gov.au)

ABN: 74 599 608 295

<Insert contact name>

<Insert contact title>

<Insert company name>

<Insert address>

<Insert suburb, state, postcode>

Dear <Insert contact name>

***Incubator Support Initiative – Expert in Residence – Payment***

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

Further to our letter dated <insert date> advising that your grant application under the Incubator Support Initiative was successful, I am pleased to advise that a payment of \$<insert payment amount> will shortly be deposited into your nominated bank account.

Please find attached a Recipient Created Tax Invoice (RCTI) for your records.

If you have any queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>

<insert CSM title>

<insert CSM state office> - AusIndustry

Department of Industry, Innovation and Science

<Insert date>

## Incubator Support - New and Existing Incubators final project report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                |                                            |
|----------------|--------------------------------------------|
| Project number | [project number]                           |
| Grantee name   | [grantee name]                             |
| Project title  | [project title]                            |
| Project period | [project start date] to [project end date] |

### 1. Project achievement

- a. Complete the following table, updating for all milestones shown in the activity schedule of your grant agreement. Add or delete rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) |
|----|---------------------------|------------------------|-------------------------------------|---------------------------------|
| 1  | [milestone 1 description] | [dd/mm/yy]             |                                     |                                 |
| 2  | [milestone 2 description] | [dd/mm/yy]             |                                     |                                 |
| 3  | [milestone 3 description] | [dd/mm/yy]             |                                     |                                 |
| 4  | [milestone 4 description] | [dd/mm/yy]             |                                     |                                 |

- b. Briefly outline the project milestones and activities completed by the project end date. If applicable, comment on why all milestones were not completed by the project end date.

- c. Attach any agreed evidence required with this report to demonstrate successful completion of your project. List the attached documents below against the relevant activities.

- d. If you had a regional project, attach agreed evidence to demonstrate where the majority of your activities have been undertaken. List the attached documents below against the relevant activity.

## 2. Project outcomes

- a. Outline the project outcomes achieved by the project end date.

*Did you achieve the project outcomes as anticipated? Describe how many cohorts, workshops or events were delivered; how many startups successfully completed your incubator or accelerator program; how many services your incubator provided. Provide details on the total investment raised, increase in employee numbers across startups, did your Incubator assist startups with any other significant achievement such as IPO; commercialisation; partnerships/collaborations.*

- b. Do the achieved project outcomes align with those specified in the grant agreement?

Yes ☐ No ☐

If no, explain why.

- c. Attach copies of any published reports and promotional material, relating to the project, and list them below.

- d. Are there any planned events relating to the project that you are ☐ yes ☐ no required to notify us about in accordance with your agreement?

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

## 3. Project benefits

- a. Explain how your project will continue to have an impact now that the grant project has finished.

- b. Outline the number and type of services that were provided to start-up participants through your project.

*Examples of these may include advice or services for business capability; financial; marketing; product development; resourcing; access to facilities and equipment; workshops; mentoring; events.*

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|    | Question                                                                                                                                                                                                                                                                                                                                            | response |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| c. | How many start-up participants received tailored management services?<br><i>e.g. services that were tailored specifically for the start-up that might include business improvement/capability development, business plans, financial; marketing; resourcing; mentoring.</i>                                                                         |          |
| d. | How many of the start-up participants that received tailored management services are located in regional areas?<br><i>The <u>regional locator tool</u> will assist you to determine if a start-up is regional. We consider all start-ups located in Inner Regional, Outer Regional, Remote and Very Remote classification areas to be regional.</i> |          |
| e. | As part of your project, did you conduct specific activities to encourage or facilitate investment for start-ups?                                                                                                                                                                                                                                   |          |
| f. | How many start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                                       |          |
| g. | How many start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                                 |          |
| h. | What is the total value of private sector investment in participant start-ups that is attributable to the project to date?                                                                                                                                                                                                                          | \$       |
| i. | As part of your project, did you conduct specific activities to encourage or facilitate investment for <b>regional</b> start-ups?                                                                                                                                                                                                                   |          |
| j. | How many <b>regional</b> start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                       |          |
| k. | How many <b>regional</b> start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                 |          |
| l. | What is the total value of private sector investment in <b>regional</b> participant start-ups that is attributable to the project to date?                                                                                                                                                                                                          | \$       |
| m. | How many new business networks have you established as a result of the Incubator Support grant?<br><i>Examples include strategic or investment partnerships; collaborations; researchers, mentors, advisers and supply chain networks.</i>                                                                                                          |          |



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|    | Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | response |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| n. | <p>How many start-up participants have:</p> <ul style="list-style-type: none"> <li>• formed new collaborations or partnerships with other businesses, universities, research organisations or supply chains due to this project?</li> <li>• increased their revenue or expanded their business due to this project?</li> <li>• successfully engaged in international trade as a result of this project?</li> <li>• successfully engaged in domestic trade as a result of this project?</li> </ul> |          |
| o. | How many of the start-up participants did you assist in accessing and using the DataStart program?                                                                                                                                                                                                                                                                                                                                                                                                |          |
| p. | How many of these were regional start-ups?                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |

q. Provide any additional information to explain your answers in the table more fully.

r. Provide the ABNs for all start-up participants that have participated in your incubator as a result of project funding.

*You should also provide the number of start-ups that have not yet registered for an ABN.*

*We require you to provide details of all start-ups that have had an extended engagement (at least 2 months), and have participated in your incubator as part of the project.*

s. Provide the contact details (email and phone number) for all start-up businesses that have been incubated by you as a result of project funding:

*We only use contact details of participating start-ups for program evaluation purposes.*

*We required you to provide details of all, or a representative sample of start-ups that have had an extended engagement (at least 2 months) and have participated in your incubator as part of the project.*

#### 4. Total eligible expenditure incurred for your project

a. Complete the following tables recording your actual expenditure and in-kind contributions incurred on your project. All expenditure should be GST inclusive, less GST credits you can claim.

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*Refer to the program guidelines or contact us if you have any questions about eligible expenditure.*

| Eligible expenditure items            | Total (GST inclusive less any GST credits you can claim) |
|---------------------------------------|----------------------------------------------------------|
| Labour                                | \$                                                       |
| Contractors                           | \$                                                       |
| Workshop, conferences and events      | \$                                                       |
| Travel and overseas expenditure       | \$                                                       |
| Equipment (including software)        | \$                                                       |
| Other eligible expenditure            | \$                                                       |
| <b>Sub total eligible expenditure</b> | <b>\$</b>                                                |

| In-kind contributions (non-cash)                       | Total (GST inclusive less any GST credits you can claim) |
|--------------------------------------------------------|----------------------------------------------------------|
| Access to services (e.g. mentoring, business planning) | \$                                                       |
| Access to facilities (e.g. office accommodation)       | \$                                                       |
| Access to resources (e.g. ICT software)                | \$                                                       |
| Other in-kind contributions                            | \$                                                       |
| <b>Sub total eligible in-kind contributions</b>        | <b>\$</b>                                                |

|                                                                  |           |
|------------------------------------------------------------------|-----------|
| <b>Total eligible project value (total of both tables above)</b> | <b>\$</b> |
|------------------------------------------------------------------|-----------|

- b. Was the expenditure incurred in accordance with [the activity budget in] the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

- c. How much cash was invested in your project? Include all investment except this grant. This includes any private sector, other government, your own contributions or partner contributions. Complete the following table and add rows as required.

| Contributor       | Contribution (GST excl) |
|-------------------|-------------------------|
| Grantee           | \$                      |
| [Name of partner] | \$                      |



## 5. Updated business indicators

- a. Complete the following table with regard to your organisation only. These fields are mandatory and entering \$0 is acceptable if applicable. If they clearly do not apply to your organisation you may select not applicable.

*We collect the following data from all grantees across all grant programs. We use this data to better understand your business and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000.*

| Recent trading performance                                                           | Latest complete financial year<br>[yyyy-yy] |
|--------------------------------------------------------------------------------------|---------------------------------------------|
| Sales revenue (turnover)                                                             | \$                                          |
| Export revenue                                                                       | \$                                          |
| R&D expenditure                                                                      | \$                                          |
| Taxable income                                                                       | \$                                          |
| Number of employees including working proprietors and salaried directors (headcount) |                                             |
| Number of independent contractors (headcount)                                        |                                             |

## 6. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form to complete your new bank details.

## 7. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the grant was spent in accordance with the grant agreement
- I am aware of the grantee's obligations under their grant agreement, including survival clauses.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]

## [Program name] - Independent audit report

### Background

These templates assist grant recipients (and their auditors) to understand the audit requirements under a [program name] grant agreement. For further information contact us on 13 28 46 or at [business.gov.au](http://business.gov.au).

All [program name] grant recipients enter into a grant agreement with the Commonwealth. Under this grant agreement, when an independent audit report is required the grant recipient must provide us with:

- a statement of grant income and expenditure against the expenditure categories under the grant agreement (attachment A)
- an independent audit report on the statement of grant income and expenditure (attachment B)
- certification of certain matters by the auditor (attachment C).

You can find additional information on [program name] at [business.gov.au](http://business.gov.au) or by calling us on 13 28 46.

### Eligible expenditure

Advice on eligible expenditure for projects under the [program name] can be found in [program name] program guidelines. These guidelines are revised from time to time and therefore more than one version of the document may exist. For [program name] grant recipients, the relevant guidelines are those that were effective at the time the application was accepted.

It is essential that grant recipients and their auditors understand the [program name] eligible expenditure requirements because these determine whether, and the extent to which, certain costs are reportable and claimable.

The amount of grant funding we approve is based on the grant recipient's estimated eligible expenditure, as provided in their application. However, the grant funding any grant recipient is ultimately entitled to receive is determined against actual eligible expenditure incurred and paid for on the project. The grant amount specified in the grant agreement is the **maximum** amount the grant recipient may be paid.

The expenditure reported in the 'statement of grant income and expenditure' at attachment A must represent actual 'eligible expenditure' paid on the project during that period.

## Attachment A – Statement of grant income and expenditure

[program name]

|                             |                                                           |
|-----------------------------|-----------------------------------------------------------|
| Project number              | [project number]                                          |
| Grant recipient             | [organisation]                                            |
| Project title               | [project title]                                           |
| Reporting period start date | [project start date or other reporting period start date] |
| Reporting period end date   | [project end date or other reporting period end date]     |

This statement of grant income and expenditure must be prepared by the grant recipient and contain the following:

- Statement of funds, grant recipient contributions and other financial assistance\*
- Statement of eligible expenditure\*
- Notes to the statement of eligible expenditure, explaining the basis of compilation
- Certification by directors of the grant recipient

\*We will compare this information to that detailed in the grant agreement.

### 1. Statement of funds, grant recipient contributions and other financial assistance

Complete the following table for all cash [and in-kind] contributions for your project for the period in question, including

- the [program name] grant
- other government funding
- your own contributions
- partner or other third party contributions
- any additional private sector funding.

Insert rows as required.

| Contributor          | Cash amount (GST excl)  | [Estimated in-kind amount (GST excl)] | Total (GST excl)        |
|----------------------|-------------------------|---------------------------------------|-------------------------|
| [Program name] grant | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| Grant recipient      | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| [enter contributor]  | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| [enter contributor]  | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| <b>Total</b>         | <b>\$(enter amount)</b> | <b>\$(enter amount)</b>               | <b>\$(enter amount)</b> |

## 2. Statement of eligible expenditure

Details of the eligible expenditure that has been incurred and paid for during the reporting period must be reported in the tables provided at Section 4 of the ISI final report.

Comment on any variance between the expenditure items and amounts detailed in the grant agreement and the actual items and amounts detailed in Section 4 of the ISI final report.

[enter details]

## 3. Note to the statement of eligible expenditure.

### 3.1. Eligible expenditure

The eligible expenditure as reported in the statement of eligible expenditure is in accordance with the [program name] program guidelines.

### 3.2. Basis of compilation

This statement of eligible expenditure has been prepared to meet the requirements of the grant agreement between [enter grant recipient name] and the Commonwealth represented by the Department of Industry, Innovation and Science. Significant accounting policies applied in the compilation of the statement of grant income and expenditure include the following:

[enter details]

#### 4. Certification by directors [if not director, replace with appropriate equivalent]

[Grant recipient name]

[Project number]

For the period [dd/ mm/yyyy] to [dd/ mm/yyyy]

We confirm that, to the best of our knowledge and believe, having made such enquiries as we considered necessary for the purpose of appropriately informing ourselves:

##### Statement of grant income and expenditure

- a. We have fulfilled our responsibilities for the preparation of the statement of grant income and expenditure in accordance with the cash basis of accounting and the terms of the grant agreement with the Commonwealth, represented by the Department of Industry, Innovation and Science dated [enter date]; in particular, the statement of grant income and expenditure presents fairly in accordance therewith.
- b. All events subsequent to the date of the statement of grant income and expenditure which require adjustment or disclosure so as to present fairly the statement of grant income and expenditure, have been adjusted or disclosed.
- c. [Where applicable] The effects of uncorrected misstatements are immaterial, both individually and in the aggregate, to the statement of grant income and expenditure as a whole. A list of the uncorrected misstatements is attached to this representation letter.
- d. That all grant recipient contributions and other financial assistance were spent for the purpose of the project and in accordance with the grant agreement and that the grant recipient has complied with the grant agreement and relevant accounting policies.
- e. That salaries and allowances paid to persons involved in the project are in accordance with any applicable award or agreement in force under any relevant law on industrial or workplace relations.

Signature .....

Name [enter name]

Director

Date [dd/mm/yyyy]

Signature .....

Name [enter name]

Director

Date [dd/mm/yyyy]

## For Official Use Only

## 5. For Auditor use only

I certify that this statement of grant income and expenditure is the one used to prepare my independent audit report dated [enter date] for the Department of Industry, Innovation and Science.

Signature .....

Name [enter name]

Position [enter position]

Auditor's employer [enter employer name]

Date [dd/mm/yyyy]

## Attachment B - Independent audit report

### Background for auditors

The purpose of the independent audit report is to provide us with an auditor's opinion on the grant recipient's statement of grant income and expenditure. The statement of grant income and expenditure is prepared by the grant recipient to correspond with the expenditure reported to the department by the grant recipient for the same period, in the process of claiming grant payments.

The independent audit report must be prepared by a person who is an approved auditor.

An approved auditor is a person who is:

- a. registered as a company auditor under the *Corporations Act 2001* or an appropriately qualified member of Chartered Accountants Australia and New Zealand, or of CPA Australia or the Institute of Public Accountants; and
- b. not a principal, member, shareholder, officer, agent, subcontractor or employee of the grant recipient or of a related body corporate or a Connected Entity.

The audit should be undertaken and reported in accordance with Australian Auditing Standards.

The independent audit report must follow the required format and include any qualification regarding the matters on which the auditor provides an opinion. We may follow up any qualifications with the grant recipient or auditor. The independent audit report must be submitted on the auditor's letterhead.

Auditors must comply with the professional requirements of Chartered Accountants Australia and New Zealand, CPA Australia and the Institute of Public Accountants in the conduct of their audit.

If the auditor forms an opinion that the statement of grant income and expenditure does not give a true and fair view of the eligible expenditure for the period, the independent audit report should be qualified and the error quantified in the qualification section of the independent audit report.

The required independent audit report format follows.



## Auditor's report

Independent audit report in relation to [grant recipient name]'s statement of grant income and expenditure to the Commonwealth, represented by the Department of Industry, Innovation and Science (the department).

We have audited:

- a. the accompanying statement of grant income and expenditure of [grant recipient name] for the period [dd/mm/yyyy] to [dd/mm/yyyy], a summary of significant accounting policies and other explanatory information, and management's attestation statement thereon (together "the financial statement"). The financial statement has been prepared by management using the cash basis of accounting described in note 3.2 to the financial statement; and
- b. [grant recipient name]'s compliance with the terms of the grant agreement between [grant recipient name] and the Commonwealth dated [date of agreement] for the period [dd/mm/yyyy] to [dd/mm/yyyy] (the grant agreement).

We have:

- a. reviewed [grant recipient name]'s statement of labour costs in support of its claim of eligible expenditure; and
- b. performed limited assurance procedures on [grant recipient name]'s statement of employee numbers under the grant agreement].

### *Management's responsibility*

Management is responsible for:

- a. the preparation and fair presentation of the financial statement in accordance with the basis of accounting described in note 3.2, this includes determining that the cash basis of accounting is an acceptable basis for the preparation of the financial statement in accordance with the grant agreement;
- b. compliance with the terms of the grant agreement;
- c. the preparation of the statement of employee numbers and labour costs in support of eligible expenditure; and
- d. such internal control as management determines is necessary to:
  - i enable the preparation of the financial statement and the statement of [employee numbers and ]labour costs that are free from material misstatement, whether due to fraud or error; and
  - ii enable compliance with the terms of the grant agreement.

### *Auditor's responsibility*

Our responsibilities are:

- a. To express an opinion, based on our audit, on:
  - i the financial statement; and
  - ii [Grant recipient name]'s compliance, in all material respects, with the terms of the grant agreement; and
- b. To conclude based on:

- i our review procedures, on the statement of labour costs; and
- ii our limited assurance procedures on the statement of employee numbers.

We conducted our audit of the financial statement in accordance with Australian Auditing Standards; our audit of compliance with the grant agreement in accordance with ASAE 3100, our review of the statement of labour costs in accordance with ASRE 2405; and our limited assurance procedures on employee numbers in accordance with ASAE 3000. The applicable Standards require that we comply with relevant ethical requirements and plan and perform our work to:

- a. obtain reasonable assurance about whether the financial statement is free from material misstatement and that [grant recipient name] has complied, in all material respects, with the terms of the grant agreement; and
- b. obtain limited assurance as to whether anything has come to our attention that causes us to believe that the statements of employee numbers and labour costs are materially misstated.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statement and about the grant recipient's compliance with the grant agreement. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statement, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the grant recipient's preparation and fair presentation of the financial statement, and to the grant recipient's compliance with the grant agreement, in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the grant recipient's internal control. An audit also includes evaluating the appropriateness of accounting policies used by management, as well as evaluating the overall presentation of the financial statement.

A review consists of making enquiries and applying analytical and other review procedures. A review is substantially less in scope than an audit conducted in accordance with Auditing Standards and consequently does not enable us to obtain assurance that we would become aware of all significant matters that might be identified in an audit. Accordingly, we do not express an audit opinion on the statement of labour costs.

A limited assurance engagement undertaken in respect of the statement of employee numbers, in accordance with ASAE 3000 involves [level of detail about procedures to be determined by the auditor]. The procedures performed in a limited assurance engagement vary in nature and timing from, and are less in extent than for, a reasonable assurance engagement; and consequently, the level of assurance obtained in a limited assurance engagement is substantially lower than the assurance that would have been obtained had a reasonable assurance engagement been performed.

We believe that the evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion, review and limited assurance conclusions.

### *Opinion*

In our opinion:

- a. the financial statement presents fairly, in all material respects, the grant income and expenditure of [grant recipient name] for the period [dd/mm/yyyy] to [dd/mm/yyyy] in accordance with the cash basis of accounting described in note 3.2 and the terms of the grant agreement, dated [date of agreement], with the Commonwealth; and

- b. [Grant recipient name] has complied, in all material respects, with the requirements of the grant agreement between the organisation and the Commonwealth dated [date of agreement], for the period [dd/mm/yyyy] to [dd/mm/yyyy].

#### *Basis of Accounting and Restriction on Distribution*

Without modifying our opinion, we draw attention to note 3.2 to the financial statement, which describes the basis of accounting. The financial statement is prepared to provide information to the department in accordance with the grant agreement, dated [date of agreement]. As a result, the financial statement may not be suitable for another purpose.

#### *Use of Report*

This report has been prepared for [Grant recipient name] and the department in accordance with the requirements of the grant agreement between [grant recipient name] and the Commonwealth, dated [date of agreement]. We disclaim any assumption of responsibility for any reliance on this report to any persons or users other than [grant recipient name] and the department, or for any purpose other than that for which it was prepared.

#### *Conclusions*

Based on:

- a. Our review, which is not an audit, nothing has come to our attention that causes us to believe that the statement of labour costs in the period [dd/mm/yyyy] to [dd/mm/yyyy] is not, in all material respects, fairly presented in accordance with the grant agreement dated [date of agreement] with the Commonwealth; and
- b. The procedures we have performed and the evidence we have obtained, nothing has come to our attention that causes us to believe that the statement of employee numbers as at [dd/mm/yyyy] is not prepared, in all material respects, in accordance with the grant agreement dated [date of agreement] with the Commonwealth].

Auditor's signature .....

Name [enter name]

Auditor's employer [enter employer name]

Employer's address [enter address]

Qualifications [enter qualification]

Position [enter position]

Date [dd/mm/yyyy]

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## Attachment C - Certification of certain matters by the auditor

The department also requires a certification of certain matters by the auditor in addition to the independent audit report. This should be submitted with the statement of grant income and expenditure and independent audit report.

The auditor who signs this certification must also initial and date a copy of the grant recipient's statement of eligible expenditure. The department will not accept an independent audit report that lacks this attachment.

The required format of certification is on the following page.

## For Official Use Only

[print on auditor letterhead]

[addressee]

Department of Industry, Innovation and Science  
GPO Box 2013  
Canberra ACT 2601

I understand that the Commonwealth, represented by the Department Industry, Innovation and Science and [grant recipient name] have entered into a grant agreement for the provision of financial assistance under the [program name] to the grant recipient for the project. A condition of funding under the grant agreement is that the grant recipient provides a statement of grant income and expenditure certifying that expenditure on approved project items has been incurred within the relevant audit period and paid in accordance with the program guidelines, and is supportable by appropriate documentation.

In fulfilment of the condition, I hereby certify that:

- a. I am a member of Chartered Accountants Australia and New Zealand/ CPA Australia/ the Institute of Public Accountants (as a Public Practice Certified Member).
- b. I have prepared the independent audit report on [grant recipient name]'s, statement of grant income and expenditure in accordance with the details of the grant agreement between the grant recipient and the Commonwealth, project no [project no] dated [dd/mm/yyyy].
- c. I have reviewed the grant agreement between the grant recipient and the Commonwealth, project no [project no] dated [dd/mm/yyyy], and related program guidelines and understand the requirements pertaining to financial reporting and eligible expenditure contained therein.
- d. I have signed the attached copy of [grant recipient name]'s statement of eligible expenditure that I used to prepare the independent audit report.
- e. I have complied with the professional independence requirements of Chartered Accountants Australia and New Zealand/ CPA Australia/the Institute of Public Accountants. I specifically certify that I:
  - i am not, and have not been, a director, office holder, or employee of [grant recipient name] or related body corporate of [grant recipient name]
  - ii have not been previously engaged by [grant recipient name] for the purpose of preparing their [program name] application or any report required under the grant agreement
  - iii have no financial interest in [grant recipient name].

Signature .....

Name [enter name]  
Qualifications [enter qualification]  
Position [enter position]  
Date [dd/mm/yyyy]



Australian Government  
Department of Industry,  
Innovation and Science

# Business

## Incubator Support Initiative

### New and Existing – End of Project CSM Assessment

Grant recipient:

Grant number: ISI

Project title:

Project period: / / to / /

Customer Service Manager

Grant contact:

Position occupied:

**Note:** All financial information contained within this report, including the grant amount, is net of GST.

#### 1 Project details

|                                                                                                                                                                                                                                                                            |                                                                                                                                                                                     |                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1.1                                                                                                                                                                                                                                                                        | Has the grantee provided all progress reports as required under the funding agreement?                                                                                              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.1                                                                                                                                                                                                                                                                        | Has the grantee provided an Independent Financial Audit Report, which is correctly signed by the Auditor and reflects the correct project period dates?                             | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.2                                                                                                                                                                                                                                                                        | Has the project been completed in accordance with the <i>Project Description and Outcomes</i> as outlined in causes B Activity and C Duration of Activity of the funding agreement? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments where applicable (including whether all activities conducted were within the scope of the original project description, funding agreement and eligible expenditure guidelines and whether documentation (ie.reports/photos/other evidence) was provided): |                                                                                                                                                                                     |                                                          |
| 1.3                                                                                                                                                                                                                                                                        | Does the recipient consider the project to be a success?                                                                                                                            | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.4                                                                                                                                                                                                                                                                        | Is there any other available information that relates to the recipient (e.g. awards, media or activity not funded by the grant)                                                     | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |

#### 2 Expenditure

|     |                                                |  |
|-----|------------------------------------------------|--|
| 2.1 | Are the items in the statement of expenditure: |  |
|-----|------------------------------------------------|--|

|                                                                 |                                                               |                                                             |
|-----------------------------------------------------------------|---------------------------------------------------------------|-------------------------------------------------------------|
|                                                                 | a) compatible with the descriptions in the funding agreement? | a) <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                                                                 | b) in accordance with the eligible expenditure guidelines?    | b) <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                                                                 | c) supported by an independent audited financial report?      | c) <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments where applicable:                              |                                                               |                                                             |
| 2.2                                                             | Has the grantee spent all grant funds?                        | <input type="checkbox"/> Yes <input type="checkbox"/> No    |
| If no, provide comments and calculate the debt recovery amount. |                                                               |                                                             |
| 2.3                                                             | Have you completed the final payment calculation in SGMS?     | <input type="checkbox"/> Yes <input type="checkbox"/> No    |
| If yes, provide comments:                                       |                                                               |                                                             |

### 3 Other project matters, activities and events

|                   |                                                                                                                                       |                                                          |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 3.1               | Has the recipient identified any activities that should be forwarded to Programme Management or the AusIndustry Debt Management team? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments: |                                                                                                                                       |                                                          |
| 3.2               | Has the grantee been advised of on-going future reporting requirements and obligations?                                               | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments: |                                                                                                                                       |                                                          |

### 4 Conclusion and Recommendation

Provide a recommendation as to whether the Final Report should be accepted as satisfactory or whether further advice will be sought from Programme Management and/or the AusIndustry Debt Management team.

### 5 Report Prepared By

CSM Name:

Signature:

Date:

### 6 Report Reviewed By

Authorised Officer Name:

Signature:

Date:

*Note: Please send a copy of the final report assessment to the Incubator Support Programme Management team at [S 22 @industry.gov.au](mailto:S22@industry.gov.au).*



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Report due reminder

This is a reminder that your <insert report name> is due on or before <report due date>.

Your report will enable us to assess your progress against the agreed project milestones, and to calculate and process any payments that may be due.

Once we receive a satisfactorily completed report we will process as quickly as possible. We cannot make any further grant payments until we receive a satisfactory report.

Your grant agreement details all your reporting obligations.

If you foresee any problem in submitting the report by its due date, or if you would like to discuss this matter further, please contact me on <phone number>.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



## Incubator Support - Expert in Residence progress report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                 |                                                                                  |
|-----------------|----------------------------------------------------------------------------------|
| Project number  | [project number]                                                                 |
| Grantee name    | [grantee name]                                                                   |
| Project title   | [project title]                                                                  |
| Progress period | [project period start date] to [project period end date] as per grant agreement] |

### 1. Project progress

a. Complete the following table, updating for all milestones. Add rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) as at reporting period |
|----|---------------------------|------------------------|-------------------------------------|--------------------------------------------------------|
| 1. | [milestone 1 description] | [dd/mm/yy]             |                                     |                                                        |
| 2. | [milestone 2 description] | [dd/mm/yy]             |                                     |                                                        |
| 3. | [milestone 3 description] | [dd/mm/yy]             |                                     |                                                        |
| 4. | [milestone 4 description] | [dd/mm/yy]             |                                     |                                                        |

b. Describe the eligible activities you have completed during this reporting period, including your progress against milestones and any outcomes achieved. If applicable, comment on why your progress is delayed.

c. Is the overall project proceeding as per your project plan and grant agreement?

Yes ☐ No ☐

If no, identify any changes or anticipated issues. Comment on any impacts on project timing and outcomes and how you expect to manage these.

d. Are there any planned events relating to the project that you are required to notify us about in accordance with your agreement? ☐ yes ☐ no

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If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

|  |
|--|
|  |
|--|

## 2. Eligible project value summary

a. Complete the following table explaining the:

- i. expenditure incurred and in-kind contribution provided prior to this report,
- ii. expenditure incurred and in-kind contribution for this reporting period, and
- iii. estimated future expenditure and in-kind contribution for the next reporting period.

All figures must be GST inclusive less GST inputs you can claim.

| Eligible project value                                               | Cost |
|----------------------------------------------------------------------|------|
| i. Eligible expenditure (cash) to date                               | \$   |
| ii. In-kind contributions to date                                    | \$   |
| iii. Total eligible project value to date (i + ii)                   | \$   |
| iv. Eligible expenditure (cash) this reporting period                | \$   |
| v. In-kind contributions this reporting period                       | \$   |
| vi. Total eligible project value this reporting period (iv + v)      | \$   |
| vii. Estimated expenditure (cash) next reporting period              | \$   |
| viii. In-kind contributions next reporting period                    | \$   |
| ix. Estimated total project value next reporting period (vii + viii) | \$   |
| x. Estimated remaining total project value                           | \$   |

b. Is this project expenditure broadly in line with the activity budget in the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

|  |
|--|
|  |
|--|

## 3. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

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If yes, a customer service manager from AusIndustry will provide you with a form, to complete your new bank details.

#### 4. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the activities identified above are for the purposes stated in the grant agreement.
- I am aware of the grantee's obligations under their grant agreement, including the need to keep the Commonwealth informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]

## Incubator Support - New and Existing Incubators final project report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                |                                            |
|----------------|--------------------------------------------|
| Project number | [project number]                           |
| Grantee name   | [grantee name]                             |
| Project title  | [project title]                            |
| Project period | [project start date] to [project end date] |

### 1. Project achievement

- a. Complete the following table, updating for all milestones shown in the activity schedule of your grant agreement. Add or delete rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) |
|----|---------------------------|------------------------|-------------------------------------|---------------------------------|
| 1  | [milestone 1 description] | [dd/mm/yy]             |                                     |                                 |
| 2  | [milestone 2 description] | [dd/mm/yy]             |                                     |                                 |
| 3  | [milestone 3 description] | [dd/mm/yy]             |                                     |                                 |
| 4  | [milestone 4 description] | [dd/mm/yy]             |                                     |                                 |

- b. Briefly outline the project milestones and activities completed by the project end date. If applicable, comment on why all milestones were not completed by the project end date.

- c. Attach any agreed evidence required with this report to demonstrate successful completion of your project. List the attached documents below against the relevant activities.

- d. If you had a regional project, attach agreed evidence to demonstrate where the majority of your activities have been undertaken. List the attached documents below against the relevant activity.

## 2. Project outcomes

- a. Outline the project outcomes achieved by the project end date.

*Did you achieve the project outcomes as anticipated? Describe how many cohorts, workshops or events were delivered; how many startups successfully completed your incubator or accelerator program; how many services your incubator provided. Provide details on the total investment raised, increase in employee numbers across startups, did your Incubator assist startups with any other significant achievement such as IPO; commercialisation; partnerships/collaborations.*

- b. Do the achieved project outcomes align with those specified in the grant agreement?

Yes ☐ No ☐

If no, explain why.

- c. Attach copies of any published reports and promotional material, relating to the project, and list them below.

- d. Are there any planned events relating to the project that you are ☐ yes ☐ no required to notify us about in accordance with your agreement?

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

## 3. Project benefits

- a. Explain how your project will continue to have an impact now that the grant project has finished.

- b. Outline the number and type of services that were provided to start-up participants through your project.

*Examples of these may include advice or services for business capability; financial; marketing; product development; resourcing; access to facilities and equipment; workshops; mentoring; events.*

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|  |
|--|
|  |
|--|

|    | Question                                                                                                                                                                                                                                                                                                                                            | response |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| c. | How many start-up participants received tailored management services?<br><i>e.g. services that were tailored specifically for the start-up that might include business improvement/capability development, business plans, financial; marketing; resourcing; mentoring.</i>                                                                         |          |
| d. | How many of the start-up participants that received tailored management services are located in regional areas?<br><i>The <u>regional locator tool</u> will assist you to determine if a start-up is regional. We consider all start-ups located in Inner Regional, Outer Regional, Remote and Very Remote classification areas to be regional.</i> |          |
| e. | As part of your project, did you conduct specific activities to encourage or facilitate investment for start-ups?                                                                                                                                                                                                                                   |          |
| f. | How many start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                                       |          |
| g. | How many start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                                 |          |
| h. | What is the total value of private sector investment in participant start-ups that is attributable to the project to date?                                                                                                                                                                                                                          | \$       |
| i. | As part of your project, did you conduct specific activities to encourage or facilitate investment for <b>regional</b> start-ups?                                                                                                                                                                                                                   |          |
| j. | How many <b>regional</b> start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                       |          |
| k. | How many <b>regional</b> start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                 |          |
| l. | What is the total value of private sector investment in <b>regional</b> participant start-ups that is attributable to the project to date?                                                                                                                                                                                                          | \$       |
| m. | How many new business networks have you established as a result of the Incubator Support grant?<br><i>Examples include strategic or investment partnerships; collaborations; researchers, mentors, advisers and supply chain networks.</i>                                                                                                          |          |

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|    | Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | response |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| n. | <p>How many start-up participants have:</p> <ul style="list-style-type: none"> <li>• formed new collaborations or partnerships with other businesses, universities, research organisations or supply chains due to this project?</li> <li>• increased their revenue or expanded their business due to this project?</li> <li>• successfully engaged in international trade as a result of this project?</li> <li>• successfully engaged in domestic trade as a result of this project?</li> </ul> |          |
| o. | How many of the start-up participants did you assist in accessing and using the DataStart program?                                                                                                                                                                                                                                                                                                                                                                                                |          |
| p. | How many of these were regional start-ups?                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |

q. Provide any additional information to explain your answers in the table more fully.

r. Provide the ABNs for all start-up participants that have participated in your incubator as a result of project funding.

*You should also provide the number of start-ups that have not yet registered for an ABN.*

*We require you to provide details of all start-ups that have had an extended engagement (at least 2 months), and have participated in your incubator as part of the project.*

s. Provide the contact details (email and phone number) for all start-up businesses that have been incubated by you as a result of project funding:

*We only use contact details of participating start-ups for program evaluation purposes.*

*We required you to provide details of all, or a representative sample of start-ups that have had an extended engagement (at least 2 months) and have participated in your incubator as part of the project.*

#### 4. Total eligible expenditure incurred for your project

a. Complete the following tables recording your actual expenditure and in-kind contributions incurred on your project. All expenditure should be GST inclusive, less GST credits you can claim.



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*Refer to the program guidelines or contact us if you have any questions about eligible expenditure.*

| Eligible expenditure items            | Total (GST inclusive less any GST credits you can claim) |
|---------------------------------------|----------------------------------------------------------|
| Labour                                | \$                                                       |
| Contractors                           | \$                                                       |
| Workshop, conferences and events      | \$                                                       |
| Travel and overseas expenditure       | \$                                                       |
| Equipment (including software)        | \$                                                       |
| Other eligible expenditure            | \$                                                       |
| <b>Sub total eligible expenditure</b> | <b>\$</b>                                                |

| In-kind contributions (non-cash)                       | Total (GST inclusive less any GST credits you can claim) |
|--------------------------------------------------------|----------------------------------------------------------|
| Access to services (e.g. mentoring, business planning) | \$                                                       |
| Access to facilities (e.g. office accommodation)       | \$                                                       |
| Access to resources (e.g. ICT software)                | \$                                                       |
| Other in-kind contributions                            | \$                                                       |
| <b>Sub total eligible in-kind contributions</b>        | <b>\$</b>                                                |

|                                                                  |           |
|------------------------------------------------------------------|-----------|
| <b>Total eligible project value (total of both tables above)</b> | <b>\$</b> |
|------------------------------------------------------------------|-----------|

- b. Was the expenditure incurred in accordance with [the activity budget in] the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

- c. How much cash was invested in your project? Include all investment except this grant. This includes any private sector, other government, your own contributions or partner contributions. Complete the following table and add rows as required.

| Contributor       | Contribution (GST excl) |
|-------------------|-------------------------|
| Grantee           | \$                      |
| [Name of partner] | \$                      |



## 5. Updated business indicators

- a. Complete the following table with regard to your organisation only. These fields are mandatory and entering \$0 is acceptable if applicable. If they clearly do not apply to your organisation you may select not applicable.

*We collect the following data from all grantees across all grant programs. We use this data to better understand your business and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000.*

| Recent trading performance                                                           | Latest complete financial year<br>[yyyy-yy] |
|--------------------------------------------------------------------------------------|---------------------------------------------|
| Sales revenue (turnover)                                                             | \$                                          |
| Export revenue                                                                       | \$                                          |
| R&D expenditure                                                                      | \$                                          |
| Taxable income                                                                       | \$                                          |
| Number of employees including working proprietors and salaried directors (headcount) |                                             |
| Number of independent contractors (headcount)                                        |                                             |

## 6. Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form to complete your new bank details.

## 7. Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the grant was spent in accordance with the grant agreement
- I am aware of the grantee's obligations under their grant agreement, including survival clauses.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]



Australian Government  
Department of Industry,  
Innovation and Science

# Business

## Incubator Support Initiative

### New and Existing – End of Project CSM Assessment

Grant recipient:

Grant number: ISI

Project title:

Project period: / / to / /

Customer Service Manager

Grant contact:

Position occupied:

**Note:** All financial information contained within this report, including the grant amount, is net of GST.

#### 1 Project details

|                                                                                                                                                                                                                                                                            |                                                                                                                                                                                     |                                                          |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 1.1                                                                                                                                                                                                                                                                        | Has the grantee provided all progress reports as required under the funding agreement?                                                                                              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.1                                                                                                                                                                                                                                                                        | Has the grantee provided an Independent Financial Audit Report, which is correctly signed by the Auditor and reflects the correct project period dates?                             | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.2                                                                                                                                                                                                                                                                        | Has the project been completed in accordance with the <i>Project Description and Outcomes</i> as outlined in causes B Activity and C Duration of Activity of the funding agreement? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments where applicable (including whether all activities conducted were within the scope of the original project description, funding agreement and eligible expenditure guidelines and whether documentation (ie.reports/photos/other evidence) was provided): |                                                                                                                                                                                     |                                                          |
| 1.3                                                                                                                                                                                                                                                                        | Does the recipient consider the project to be a success?                                                                                                                            | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |
| 1.4                                                                                                                                                                                                                                                                        | Is there any other available information that relates to the recipient (e.g. awards, media or activity not funded by the grant)                                                     | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments:                                                                                                                                                                                                                                                          |                                                                                                                                                                                     |                                                          |

#### 2 Expenditure

|     |                                                |  |
|-----|------------------------------------------------|--|
| 2.1 | Are the items in the statement of expenditure: |  |
|-----|------------------------------------------------|--|

|                                                                 |                                                               |                                                             |
|-----------------------------------------------------------------|---------------------------------------------------------------|-------------------------------------------------------------|
|                                                                 | a) compatible with the descriptions in the funding agreement? | a) <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                                                                 | b) in accordance with the eligible expenditure guidelines?    | b) <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                                                                 | c) supported by an independent audited financial report?      | c) <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments where applicable:                              |                                                               |                                                             |
| 2.2                                                             | Has the grantee spent all grant funds?                        | <input type="checkbox"/> Yes <input type="checkbox"/> No    |
| If no, provide comments and calculate the debt recovery amount. |                                                               |                                                             |
| 2.3                                                             | Have you completed the final payment calculation in SGMS?     | <input type="checkbox"/> Yes <input type="checkbox"/> No    |
| If yes, provide comments:                                       |                                                               |                                                             |

### 3 Other project matters, activities and events

|                   |                                                                                                                                       |                                                          |
|-------------------|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| 3.1               | Has the recipient identified any activities that should be forwarded to Programme Management or the AusIndustry Debt Management team? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments: |                                                                                                                                       |                                                          |
| 3.2               | Has the grantee been advised of on-going future reporting requirements and obligations?                                               | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Provide comments: |                                                                                                                                       |                                                          |

### 4 Conclusion and Recommendation

Provide a recommendation as to whether the Final Report should be accepted as satisfactory or whether further advice will be sought from Programme Management and/or the AusIndustry Debt Management team.

### 5 Report Prepared By

CSM Name:

Signature:

Date:

### 6 Report Reviewed By

Authorised Officer Name:

Signature:

Date:

*Note: Please send a copy of the final report assessment to the Incubator Support Programme Management team at [S 22 @industry.gov.au](mailto:S22@industry.gov.au).*



Australian Government  
Department of Industry,  
Innovation and Science

Business

business.gov.au  
13 28 46  
Delivered by AusIndustry™



Application Form

## Incubator Support – New and Existing Incubators component

An element of the Entrepreneurs' Programme

Version December 2017

This document informs you of the questions we will ask you in the online form when you apply for Incubator Support – New and Existing Incubators. It will help you prepare your responses and the mandatory attachments you will need before you apply online.

**Do not use this document as your application form. You can only submit an application using the online form when available.**

## Instructions

### About the Incubator Support initiative

The \$23 million Incubator Support initiative supports the Australian Government's commitment to:

- assist Australian start-ups to develop the capabilities required to achieve commercial success in international markets and realise their economic potential faster than they otherwise would
- develop Australia's innovation ecosystem including in regional areas.

The initiative provides grant funding through two components to deliver Incubator Support projects, both of which require a funding contribution from applicants. These are:

- New and Existing Incubators
- Expert in Residence

In addition to these granting components, regional incubator facilitators are available to assist potential applicants, particularly in regional areas, to engage with the initiative.

The initiative will also assist successful applicants to access public data, and will promote start-ups through case studies on the data.gov.au portal.

The objective of the New and Existing Incubators component is to:

- a. help develop new incubators in regional areas and/or sectors with high potential for success in international trade
- b. boost the effectiveness of high performing incubators, including funding support to expand their services and/or develop the innovation ecosystem
- c. encourage incubators to work with more data-driven start-ups that use public data as part of their business.

The initiative's intended outcomes are to:

- support new Australian incubators targeting innovative start-ups to assist them to trade internationally
- expand the scale and operations of existing Australian incubators to increase innovative start-ups' chances of success in international markets
- develop new innovative Australian start-ups with a focus on international markets
- create opportunities for Australian start-ups to develop sustainable businesses through access to open public data.

### Completing this form

You should read the [program guidelines](#) before filling out this application.

This application form contains the following:

- Part A – Eligibility
- Part B – Contact details
- Part C – Applicant information
- Part D – Project details and funding
- Part E – Merit criteria
- Part F – Applicant declaration

## Disclosure of personal and confidential information

The Commonwealth's use and disclosure of both your personal and confidential information (provided in this application or otherwise) is set out in the Incubator Support program guidelines. Ensure that you have read this document and understand the information contained therein. For further information regarding the Department of Industry, Innovation and Science's (the department's) obligations in accordance with the Privacy Act, refer to the department's [Privacy Policy](#)<sup>1</sup>.

## Getting help

If you require assistance completing this application form contact us on 13 28 46 or at [business.gov.au](#). Our website and staff can help you with forms, finding information and services and allow you to provide feedback, comments or suggestions.

You should also read and understand the program guidelines and sample [grant agreement\(s\)](#) before completing an application. View these documents at [business.gov.au](#).

## Submitting your application

You can apply for Incubator Support at any time over the life of the program.

You will have the opportunity to submit your application as a draft or final version. You may submit one draft application and we will provide feedback and identify where you can strengthen your claims against the merit criteria. You should address this feedback before submitting your final application.

The formal decision process does not commence until we receive your final application.

If you require further guidance, have difficulties completing the form or are unable to use the online form you can contact us on 13 28 46 or at [business.gov.au](#).

---

<sup>1</sup> <https://industry.gov.au/Pages/PrivacyPolicy.aspx>



## A. Eligibility

### A.1. Eligible entities

*This section will help you determine whether you are an entity eligible for the program.*

You are required to answer all questions in this section.

Are you an existing incubator or establishing a new incubator that can foster and facilitate the development of innovative start-ups focused on international trade? ☐ yes ☐ no

*We define an incubator as a business support organisation that fosters innovative start-ups, focused on international trade, through the provision of services such as seed funding, colocation, mentoring, professional services and access to networks. It can include accelerators and germinators*

Do you have an ABN? ☐ yes ☐ no

*For trustees applying on behalf of a trust, this refers to the ABN of the trust.*

You must answer 'yes' to both of the questions above to be eligible to apply for this initiative.

Is your organisation an entity, incorporated in Australia? ☐ yes ☐ no

Is your organisation an incorporated trustee applying on behalf of a trust? ☐ yes ☐ no

*You must be able to provide a copy of the trust documents showing the relationship of the incorporated trustee to the trust.*

Is your organisation a publicly funded research organisation? ☐ yes ☐ no

*This includes all higher education providers listed at Table A and Table B of the Higher Education Support Act 2003 (Cth).*

Is your organisation an incorporated not for profit organisation? ☐ yes ☐ no

Is your organisation a local government agency or body? ☐ yes ☐ no

*A local government agency or body is a local governing body as defined in the Local Government (Financial Assistance) Act 1995 (Cth).*

If you have answered 'yes' to any of the questions above you are eligible to apply for this initiative.

### A.2. Additional eligibility criteria

*This section will help you determine whether you comply with additional eligibility criteria for the program.*

You are required to answer all questions in this section.

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Are you able to provide evidence from your board (or chief executive officer or equivalent if there is no board) that the project is supported, and that you can complete the project and meet the costs of the project not covered by grant funding?

☐ yes ☐ no

*You will be required to provide a letter from your board or equivalent with your application.*

---

Will your total eligible project value be

☐ yes ☐ no

- at least \$52,000 where located in a major city? or
- at least \$40,000 where located in a regional area?

---

If you answered 'yes' to all of the questions above you are eligible to apply for this program.

For further information regarding eligibility requirement for this program refer to the [program name] [program guidelines](#).



## B. Contact details

### B.1. Details of primary contact

*Person authorised to act on behalf of the applicant.*

*You must provide at least one phone number. The fields below are mandatory except for title.*

Provide details of the primary contact.

Title

Given name

Family name

Position title

Phone number

Mobile number

Email address

Provide the postal address of the primary contact

Address

Suburb/ town

State/ territory

Postcode

Country

### B.2. Contact's relationship to applicant

Is the applicant the primary contact's employer?

☐ yes ☐ no

If you answered 'yes' go the next question. If you answered 'no' complete the following table.

What is the relationship of the primary contact to the applicant?

Name of primary contact's employer

Australian Business Number (ABN) of primary contact's employer

Provide a contact for the applicant organisation

Title

Given name

Family name

Position title

Phone number

Mobile number

Email address

B.3. How did you hear about the program?

--- Please select ---

If Other, please specify:

## C. Applicant information

### C.1. General information

Are you an existing or new incubator?

☐

new

☐

existing

### C.2. Joint applications

*Joint applications are acceptable, provided you have a lead applicant who is the main driver of the project and is eligible to apply.*

Is this a joint application?

☐

yes

☐

no

If you answered 'yes' to this question the lead applicant must complete this form. If you are unsure whether your application should be a joint application contact us on 13 28 46 or at [business.gov.au](http://business.gov.au)

### C.3. Type of applicant

*In this section you must indicate what type of entity you operate under.*

*All entities must have an ABN*

Select which type of entity your organisation is

☐

a company incorporated in Australia

☐

incorporated trustee on behalf of a trust

☐

publicly funded research organisation (PFRO)

☐

incorporated not for profit organisation

☐

a local government agency or body

☐

other eligible entity

If you selected other eligible entity please specify.

### C.4. Applicant details

*If you are applying as a trustee on behalf of a trust leave this question blank and go to the next question.*

Australian Business Number (ABN)

Australian Company Number (ACN)

---

*If applicable*

---

Legal/ registered entity name

---

Business/ trading name

*Your business may have registered one or more business names. If you operate under a business or trading name enter these names here.*

---

GST registered?

☐ yes ☐ no

### C.5. Trustee and trust details

---

Australian Business Number (ABN) of the trustee

*(if different to trust, otherwise leave blank)*

---

Australian Company Number (ACN) of the trustee

---

Legal/ registered entity name of the trustee

---

Australian Business Number (ABN) of the trust

---

Legal/ registered entity name of the trust

---

Business/ trading name

*Your business may have registered one or more business names. If you operate under a business or trading name enter these names here.*

---

Is the trust GST registered?

☐ yes ☐ no

You must provide a copy of the trust documents showing the relationship of the incorporated trustee to the trust.

### C.6. ANZSIC details

---

What is your organisation's main revenue earning activity under the Australian and New Zealand Standard Industrial Classification (ANZSIC)?

*The ANZSIC codes and titles are available from the [Australian Bureau of Statistics \(ABS\) website](#). Phone 13 28 46 if you require assistance.*

### C.7. Address details

Provide your **organisation's street address**.

---

Address

---

Suburb/ town

---

State/ territory

---

Postcode

---

Country

---

Provide your organisation's postal address.

- ☐ Same as your street address, go to next section.
- ☐ Different to your street address, provide details below.

---

Address

---

Suburb/ town

---

State/ territory

---

Postcode

---

Country

---

## C.8. Website address

Provide your organisation's website address.

---



---

## C.9. Project site address

---

Will your project's activities occur solely at the above listed head office address?

☐ yes ☐ no

---

Provide the site addresses for the location of your project and allocate a percentage of project activities to each site address.

*Your project activities percentage should be based on eligible project value of those activities.*

*We consider your project is located in a regional area if you can attribute at least 80 per cent of your eligible project value to activities in a regional area. You will need to enter each site address into the [regional locator tool](#) to confirm the regional status.*

*For the purposes of the Incubator Support Initiative the following classifications are considered regional:*

- *Inner regional*
- *Outer regional*
- *Remote*
- *Very remote.*

*Project site address must be a street address not postal.*

#### Site address 1

Address

Suburb/ town

State/ territory

Postcode

Country

Percentage of project activities at this address %

*Enter the site address into the [regional locator tool](#) to confirm the regional status*

Is this site address located in a regional area? ☐ yes ☐ no

#### Site address 2

Address

Suburb/ town

State/ territory

Postcode

Country

Percentage of project activities at this address %

*Enter the site address into the [regional locator tool](#) to confirm the regional status*

Is this site address located in a regional area? ☐ yes ☐ no

#### Site address 3

Address

Suburb/ town

State/ territory

Postcode

Country Australia

Percentage of project activities at this address %

*Enter the site address into the [regional locator tool](#) to confirm the regional status.*

Is this site address located in a regional area? ☐ yes ☐ no

## C.10. Regional status

*Where at least 80% of your project activities are located in a regional area, your project is considered to be a regional project and you are eligible to apply for a higher grant percentage.*

Is your project located in a regional area? ☐ yes ☐ no

*If successful you will be required to provide evidence of the regional nature of your project activities in your progress reports.*

## C.11. Latest financial year figures

Has your organisation existed for a complete financial year? ☐ yes ☐ no

If you answered 'yes', enter the latest completed financial year, then complete the table below.

*Example entry 2016-17*

If you answered 'no', enter the number of months your organisation has existed in the financial year to date, then complete the table below.

*We collect the following data from all applicants across all grant programs. We use this data to better understand your organisation and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000. The turnover value must be that of the incorporated entity that is making the grant application (the 'applicant'), regardless of whether the entity belongs to a consolidated group for tax purposes.*

*These fields are mandatory and entering \$0 is acceptable if applicable for your organisation. If they clearly do not apply to your organisation you may select not applicable.*

| Recent trading performance                                                                                                                                                                                                                                                              | Check box if the indicator is not applicable to your organisation | Latest financial year figures |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------|
| Sales revenue (turnover)<br><i>Total revenue from the sale of goods and services, as reported in your organisation's Business Activity Statement (BAS).</i>                                                                                                                             | <input type="checkbox"/> n/a                                      | \$                            |
| Export revenue<br><i>Total revenue from export sales, as reported in your organisation's Business Activity Statement (BAS).</i>                                                                                                                                                         | <input type="checkbox"/> n/a                                      | \$                            |
| R&D expenditure<br><i>Expenditure on research and development, i.e. creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications.</i> | <input type="checkbox"/> n/a                                      | \$                            |



| Recent trading performance                                                                                                                                                                                         | Check box if the indicator is not applicable to your organisation | Latest financial year figures |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------|
| Taxable income<br><i>Taxable income or loss as reported in your organisation's income company tax return form.</i>                                                                                                 | <input type="checkbox"/> n/a                                      | \$                            |
| Employees, including working proprietors and salaried directors (headcount)<br><i>Number of individuals who are entitled to paid leave (sick and holiday), or generate income from managing your organisation.</i> | <input type="checkbox"/> n/a                                      |                               |
| Independent contractors (headcount)<br><i>Number of individuals engaged by your organisation under a commercial contract (rather than an employment contract) to provide employee-like services on site.</i>       | <input type="checkbox"/> n/a                                      |                               |

### C.12. Ultimate holding company

Does your company have an ultimate holding company? ☐ yes ☐ no

If you answered 'yes' complete the following table. If you answered 'no' go to next question.

|                                                           |
|-----------------------------------------------------------|
| Ultimate holding company ABN (if applicable)              |
| Legal/ registered entity name of ultimate holding company |
| Country of registration of ultimate holding company       |

### C.13. Project partner organisation details

If in B1 you indicated that this is a joint application, you are required to provide details of the other project partner organisations in the following table.

| No | Australian Business Number | Australian Company Number | Organisation name |
|----|----------------------------|---------------------------|-------------------|
| 1  |                            |                           |                   |
| 2  |                            |                           |                   |
| 3  |                            |                           |                   |
| 4  |                            |                           |                   |
| 5  |                            |                           |                   |

You must attach a letter of support from each of the other organisations involved in the proposal.

*Refer to section 11.2 of the program guidelines for what is required in the letter of support.*

Sample only

## D. Project details and funding

### D.1. Project title and description

*If your application is successful, some project details will be used by the Australian Government in published material. We publish details on the departmental website and [GrantConnect](#). Published project details include:*

- *name of the applicant*
- *a project title*
- *a brief project description and its intended outcomes*
- *amount of funding awarded.*

Provide a project title for publication.

*Example project title: Agile Incubators value proposition program for start-ups.*

---

70 character limit (approx. 10 words)

Provide a brief project description for publication including the key activities and project outcomes.

*Ensure your project description focuses on your project's key activities and outcomes. Explain what it is you are going to do and how it will benefit your business.*

*Example project description: Agile Incubator Pty Ltd will use grant funding to create a structured program for start-up businesses in the software industry. The program will develop the skills they need to demonstrate their value-proposition in order to access capital investment.*

---

750 character limit (approx. 125 words)

### D.2. Summary of activities and outcomes

Provide a summary of your project, including the key activities and project outcomes.

*Your summary should provide a more detailed description of your project activities and outcomes. We will use this summary to assess your application.*

---

1350 character limit (approx. 225 words)

### D.3. Project plan

You must provide a plan of the project activities you will conduct including timetable for all significant activities. This should include detailed project milestones, associated activities and expenditure.

*You must include this as an attachment when submitting your application. You may also attach other supporting documents.*

#### D.4. Project milestones and key activities.

Provide details on the activities occurring at each milestone.

*The start date of milestone 1 is the expected project start date. The end date of your last milestone activity will be the project end date. You must not start your project until your grant agreement is executed.*

*The number of milestones and detail included should be relative to the length and complexity of the project.*

*Due to assessment and approval timeframes, your project start date should be at least 3 months in advance of your application submission date.*

##### Milestone 1

Milestone title

80 character limit (approx. 12 words)

Milestone description

500 character limit (approx. 80 words)

Milestone start date

Milestone end date

##### Milestone 2

Milestone title

80 character limit (approx. 12 words)

Milestone description

500 character limit (approx. 80 words)

Milestone start date

Milestone end date

**Milestone 3**

Milestone title

80 character limit (approx. 12 words)

Milestone description

500 character limit (approx. 80 words)

Milestone start date

Milestone end date

**D.5. Project duration**

Enter your project start and end dates.

*You must complete your project within 24 months.**Your project start and end dates are a result of the dates you entered into your milestones. If they are not right you will need to modify your milestones.*

Project start date

Project end date

**D.6. Project budget**

Provide details on your eligible project costs over the life of the project. Your total eligible project value will be made up of eligible expenditure and eligible in-kind contributions.

*Amounts must be GST inclusive less any GST credits that you can claim.**Refer to the program guidelines for guidance on total project value. For guidance on eligible expenditure see appendix B. For guidance on ineligible expenditure see appendix C. For guidance on in-kind contributions see appendix D.**The minimum total project value is \$40,000 for regional incubators or those targeting regional start-ups and \$52,000 for those in major cities.**You must also attach a detailed project budget itemising the project activities you will undertake.*

**Eligible expenditure (cash)**

| Eligible expenditure item<br>(cash)       | FY<br>2017-18 | FY<br>2018-19 | FY<br>2019-20 | FY<br>2020-21 | Total     |
|-------------------------------------------|---------------|---------------|---------------|---------------|-----------|
| Labour                                    | \$            | \$            | \$            | \$            | \$        |
| Contractors                               | \$            | \$            | \$            | \$            | \$        |
| Workshops, conferences,<br>events         | \$            | \$            | \$            | \$            | \$        |
| Travel                                    | \$            | \$            | \$            | \$            | \$        |
| Equipment (including<br>software)         | \$            | \$            | \$            | \$            | \$        |
| Other eligible expenditure                | \$            | \$            | \$            | \$            | \$        |
| <b>Sub-total eligible<br/>expenditure</b> | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b> |

**In-kind contributions (non-cash)**

| Eligible in-kind contributions<br>(non-cash)              | FY<br>2017-18 | FY<br>2018-19 | FY<br>2019-20 | FY<br>2020-21 | Total     |
|-----------------------------------------------------------|---------------|---------------|---------------|---------------|-----------|
| Access to services (e.g.<br>mentoring, business planning) | \$            | \$            | \$            | \$            | \$        |
| Access to facilities such as<br>office accommodation      | \$            | \$            | \$            | \$            | \$        |
| Access to resources such as<br>ICT software               | \$            | \$            | \$            | \$            | \$        |
| Other in-kind contributions                               | \$            | \$            | \$            | \$            | \$        |
| <b>Sub total eligible in-kind<br/>contributions</b>       | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b> |
| <b>Total eligible project value</b>                       | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b>     | <b>\$</b> |

**D.7. Source of funding**

Enter the following information to show how you will fund the eligible project costs.

*Amounts must be GST inclusive less any GST credits that you can claim. Note, the minimum grant amount under the program is \$26,000 and the maximum grant amount is \$500,000.*

*Contributions from a partner organisation or other non-government sources are considered an 'applicant' contribution.*

|                                      |    |
|--------------------------------------|----|
| a. Applicant cash contribution (\$A) | \$ |
|--------------------------------------|----|

|                                                    |                     |           |
|----------------------------------------------------|---------------------|-----------|
| b. Program grant amount (\$A)                      |                     | \$        |
| c. Other government grant funding (\$A)            |                     | \$        |
| d. Other government in-kind contribution (\$A)     |                     | \$        |
| e. Applicant in-kind contribution (\$A equivalent) |                     | \$        |
| <b>Total eligible project value (\$A)</b>          |                     | <b>\$</b> |
| f. Applicant cash contribution (%)                 |                     | %         |
| g. Grant (%)                                       |                     | %         |
| h. Other government grant (%)                      | (Cannot exceed 10%) | %         |
| i. In-kind contribution (%)                        | (Cannot exceed 10%) | %         |

*The percentage of funding from government sources other than the Incubator Support initiative, (either cash or in-kind) cannot exceed 10% of total project value. Where a contribution from a government source is in-kind it counts as both a contribution from another government source and an in-kind contribution.*

#### D.8. Other government contributions (cash and in-kind)

If you are receiving other government grant funding as indicated in the table above, provide details of the other government grant funding.

| Program name | Funding amount/in-kind contribution |
|--------------|-------------------------------------|
|              | \$                                  |
|              | \$                                  |
| <b>Total</b> | <b>\$</b>                           |

#### D.9. Your contribution

To describe your funding strategy for the project enter the required information below and provide the following attachments.

| Funding type | Amount (\$A) | Details |
|--------------|--------------|---------|
| Cash flow    | \$           |         |
| Loans        | \$           |         |
| Equity       | \$           |         |
| Other        | \$           |         |
| <b>Total</b> | <b>\$</b>    |         |

You are required to provide the following attachments:



- Evidence of conditional support from your board (or if there is no board, support from the owner or chief executive officer) that the business can complete the project and meet the project costs not covered by grant funding. You must use the sample board approval template on [business.gov.au](http://business.gov.au).
- An Accountant Declaration (for grants over \$50,000) to confirm your business can fund its share of the project costs. You must use the template provided at [business.gov.au](http://business.gov.au).

Sample only

## E. Merit criteria

*To be competitive you will need to score highly against each merit criterion. The merit criteria are weighted as indicated by the points. The amount of detail and supporting evidence you provide should be commensurate with the project size, complexity and grant amount requested. You should define, quantify and provide evidence to support your answers.*

*You may attach any other documents that support your application and/or claims made in relation to the merit criteria.*

### E.1. Merit criterion one (40 points)

#### **Management and business capability**

*Demonstrate your ability to assist Australian start-ups to develop the capabilities required to succeed in international markets.*

*a. Describe key personnel:*

- *time commitment to incubator*
- *evidence of national or global entrepreneurship and commercialisation experience*
- *evidence of linkages to international innovation ecosystems*
- *community management skills*
- *evidence of investment attraction into start-ups.*

*b. What is the track record of your organisation or team? Provide examples of start-ups previously supported, including evidence that these are bringing new-to-market or new-to-world innovative products and services to markets outside Australia.*

*Describe your incubator's operating model, and how it can foster the development of innovative start-ups in international markets.*

*a. How will you leverage your networks to deliver services and opportunities to start-ups? Provide evidence of linkages, agreements and support from other players in the innovation ecosystem.*

*b. What services do you provide? These may could include:*

- *seed funding*
- *co-location*
- *structured programme*
- *mentoring*
- *cohort-based entry and exit*
- *professional services*
- *networking events.*

*c. How will you fund ongoing operations after the grant ends. For example:*

- *If you are an existing incubator, provide evidence of your current funding model*
- *If you are establishing a new incubator, provide evidence of your proposed funding model. This may include:*
  - *a letter of support from potential corporate or government sponsors*
  - *evidence of demand and willingness to pay for a co-working space.*

---

Approx. 833 word or 5000 character limit

You should attach evidence to support your claims such as resumes of key people, evidence of support from key partners, a business plan.

## E.2. Merit criterion two (50 points)

### **Benefit to your incubator, start-ups and the broader innovation ecosystem**

*Describe the distinct value proposition of your incubator. Outline the gap in the market that your project will address and describe how your project will address this gap in terms of two or more of the following outcomes.*

- a. improving the commercial prospects of innovative start-ups in international markets*
- b. developing Australia's innovation ecosystem so that innovative start-ups can thrive and flourish in international markets*
- c. developing the capability of incubators to facilitate and foster innovative start-ups with the potential to operate in international markets*
- d. developing new incubators' capabilities in regional Australia, that support internationally focussed start-ups*
- e. developing and collaborating with start-ups that use public data as part of their business.*

*We will also consider your attached project plan in assessing this milestone.*

---

---

Approx. 833 word or 5000 character limit

You should attach evidence such as demand for services, market gap analysis, opportunity analysis and third party research.

## E.3. Merit Criterion three (10 points)

### **Impact of the grant**

*You should demonstrate this by identifying*

- a. whether your project will go ahead without the grant. Explain how the grant will impact your project in terms of scale, timing and reach.*
  - b. your justification for the funding amount requested with respect to the scale of the project, grant period and intended outcomes*
  - c. the total investment and contributions the grant will leverage. Where you include in-kind contributions you should justify how you calculate the dollar value.*
- 

---

Approx. 833 word or 5000 character limit

Provide evidence to support your claims.

.

## F. Applicant declaration

### F.1. Privacy and confidentiality provisions

I acknowledge that this is an Australian Government program and that the department will use the information I provide in accordance with the following

- [Australian Government Public Data Policy Statement](#)
- [Commonwealth Grants Rules and Guidelines](#)
- program guidelines
- applicable Australian laws.

Accordingly, I understand that the department may share my personal information provided in this application within this department and with other government agencies:

- a. for purposes directly related to administering the program, including governance, research and the distribution of funds to successful applicants and
- b. to facilitate research, assessment, monitoring and analysis of other programs and activities unless otherwise prohibited by law.

I understand that where I am successful in obtaining a grant, the financial information that I provide for the purposes of payment will be accessible to departmental staff to enable payments to be made through the department's accounts payable software system.

I understand that information that is deemed 'confidential' in accordance with the program guidelines may also be shared for a relevant Commonwealth purpose.

The department will publish information on individual's grants in the public domain, including on the department's website, unless otherwise prohibited by law.

☐

By checking this box I agree to all of the above declarations and confirm all of the above statements to be true

## F.2. Applicant declaration

I declare that I have read and understood the program guidelines, including the privacy, confidentiality and disclosure provisions.

I declare that the proposed project outlined in this application and any associated expenditure has been endorsed by the applicant's Board or person with authority to commit the applicant to this project.

I declare that the applicant will comply with, and require that its subcontractors and independent contractors comply with, all applicable laws.

I declare that the information contained in this application together with any statement provided is, to the best of my knowledge, accurate, complete and not misleading and that I understand that giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).

I acknowledge that I 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 applicant's claims and may also engage external technical or financial advisors to advise on information provided in the application.

I acknowledge that this application comprises an offer to enter into a legally binding agreement with the Commonwealth. If this application is successful, the Commonwealth may accept this offer by sending me a letter of approval with annexed Grant Terms and Conditions a copy of which is available on business.gov.au. On receipt of this letter, I will immediately be bound by a legally binding agreement comprising:

- this application
- the program guidelines in place at the time I submitted the application form
- the letter and annexed Grant Terms and Conditions.]

I agree to participate in the periodic evaluation of the services undertaken by the department.

I declare that I am authorised to complete and submit this form and acknowledge that by including my name in this application I am deemed to have signed this application.

I approve the information in this application being communicated to the department in electronic form.

---

☐

By checking this box I agree to all of the above declarations and confirm all of the above statements to be true

---



## New and Existing Incubator application checklist

Incubator support funding is highly sought after and only the best applications are competitive.

- To be competitive, you will need to provide detailed, relevant claims against the merit criteria.
- You will need to back up your claims with project-specific evidence; **while some attachments are not mandatory, we strongly recommend you provide all of them.**
- **We strongly recommend you submit your draft application for feedback.**  
Feedback on your draft application is valuable as it can help to further improve your application. To receive written feedback, simply click the feedback button which is located on the last page of the online application form. We aim to provide feedback within a fortnight.

If you have any questions, please email us at [aiS22@industry.gov.au](mailto:aiS22@industry.gov.au).

### Mandatory information

| Question                                                                                                                                                                                                                                                                          | Check                    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Have you attached evidence from your governing or managing board (or support from the owner or Chief Executive Officer if there is no board) that the project is supported, and that you can complete the project and meet the costs of the project not covered by grant funding? | <input type="checkbox"/> |
| Have you attached an accountant's declaration if your grant request is over \$50,000?                                                                                                                                                                                             | <input type="checkbox"/> |
| Have you checked that all your project activities and expenditure are eligible as per appendix B and C of the program guidelines?                                                                                                                                                 | <input type="checkbox"/> |
| Have you attached a project plan that outlines your Incubator Support project and the services that will be delivered to start-ups? The project plan should also detail the key milestones, associated activities and expenditure, and how they will be achieved.                 | <input type="checkbox"/> |
| Have you attached a detailed project budget, outlining costs of each project activity and how they will be funded?                                                                                                                                                                | <input type="checkbox"/> |

### Merit criterion one

| Question                                                                                                                                                                                                                                             | Check                    |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Have you attached detailed resumes of the key personnel and demonstrated how the skills and experience of the team will be relevant in delivering the incubator services, in particular, where specialist expertise is required?                     | <input type="checkbox"/> |
| Have you provided details of the key personnel's proposed time commitment to the project?                                                                                                                                                            | <input type="checkbox"/> |
| Have you attached a business plan, outlining your incubator's business structure and operating model, including core business, current services provided, customer base and financial plan?                                                          | <input type="checkbox"/> |
| Have you clearly explained what incubator services you will be providing to Australian start-ups as part of this project and outlined the number of start-ups you expect to support?                                                                 | <input type="checkbox"/> |
| Have you attached evidence of support from key project partners, mentors or stakeholders? (e.g. letters of support, partnership agreements or MOUs)                                                                                                  | <input type="checkbox"/> |
| Have you clearly described, and attached evidence of, your international linkages? (e.g. providing letters of support, partnership agreements or MOUs from your international partners, mentors, networks other players in the innovation ecosystem) | <input type="checkbox"/> |

| Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Check                                                                                                            |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| <p>(For existing incubators) have you:</p> <ul style="list-style-type: none"> <li>attached letters of support from your previous start-up participants outlining how your incubator services have helped them, and/or</li> <li>attached other evidence to demonstrate the incubator's track record in helping start-ups to achieve commercial success?</li> </ul> <p>(For new incubators) have you:</p> <ul style="list-style-type: none"> <li>attached letters of support from relevant players in the local innovation ecosystem that indicate there is a market gap</li> <li>included information and evidence of key personnel's skills and experience in assisting start-ups to achieve commercial success, relevant to the proposed incubator project?</li> </ul> | <input type="checkbox"/><br><input type="checkbox"/><br><br><input type="checkbox"/><br><input type="checkbox"/> |

### Merit criterion two

| Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Check                                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|
| Have you clearly described how your project will address a gap in the market in terms of two or more of the five outcomes outlined listed under this Merit Criterion? (refer <a href="#">program guidelines</a> )                                                                                                                                                                                                                                                                                                                                                                                                                                  | <input type="checkbox"/>                                                                                         |
| Have you attached evidence to support the gap in the market and/or demand for your incubator services, particularly if the incubator is working in a niche sector? (e.g, industry gap/opportunity analysis, documented demand for the services)                                                                                                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/>                                                                                         |
| Have you clearly demonstrated how your project, and the services you will be delivering, will improve the prospects of Australian start-ups achieving commercial success in international markets, and how your international connections will help to facilitate this?                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/>                                                                                         |
| <p>(For existing incubators) Have you clearly demonstrated how you will:</p> <ul style="list-style-type: none"> <li>expand the scale of your existing services and how funds will be used to enhance current services beyond what is already being provided?</li> <li>develop the innovation ecosystem?</li> </ul> <p>(For new incubators) Have you clearly demonstrated how your proposal:</p> <ul style="list-style-type: none"> <li>is focused on a region or sector with high potential for success in international trade?</li> <li>will support regional start-ups and increase their chances of accessing international markets?</li> </ul> | <input type="checkbox"/><br><input type="checkbox"/><br><br><input type="checkbox"/><br><input type="checkbox"/> |

### Merit criterion three

| Question                                                                                                                                                                                                                                                                                                                                                               | Check                                                                            |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------|
| <p>Have you clearly demonstrated:</p> <ul style="list-style-type: none"> <li>why your project has a need for government funding, and is not 'business as usual' activity for your incubator?</li> <li>How your project would be impacted without the grant funding in terms of scale, timing and reach?</li> <li>how your project provides value for money?</li> </ul> | <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/> |

#### Additional Notes:

- where you are providing letters of support, try to avoid using pro-forma templates;
- when submitting your final application, please allow at least three months before the project commencement date, to allow for the decision process;
- If you are applying for a second grant, you should provide a short summary of how you have progressed with the first project, and any outcomes you have achieved to date.



## Incubator Support Board / CEO approval letter

Incubator Support  
AusIndustry  
Department of Industry, Innovation and Science

### To the Program Manager

#### Incubator Support

This letter confirms support for the project contained in the application from \_\_\_\_\_ for the Incubator Support Initiative. It also confirms that \_\_\_\_\_ can complete the project and meet the cost of the project not covered by grant funding should our application be successful.

Signature .....

Name .....

Position title .....

of organisation .....

Date .....

If your organisation has a Board of Management a signature from the Managing Director representing the board is required. If you do not have a board the Chief Executive Officer should sign this letter.



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> <last name>

## Incubator Support> - Successful application

Your application submitted under the Incubator Support initiative was successful.

|                                                            |                             |
|------------------------------------------------------------|-----------------------------|
| <b>Name of project</b>                                     | <project name>              |
| <b>Maximum grant funding amount</b>                        | <funding amount>            |
| <b>Capped Amount for financial year<br/>&lt;year 1&gt;</b> | <amount year 1>             |
| <b>Capped Amount for financial year<br/>&lt;year 2&gt;</b> | <amount year 2>             |
| <b>Capped Amount for financial year<br/>&lt;year 3&gt;</b> | <amount year 3>             |
| <b>Grant percentage</b>                                    | Up to <grant %>             |
| <b>Total eligible project expenditure</b>                  | <total project expenditure> |
| <b>Special conditions</b>                                  | n/a or <special conditions> |

You need to enter into a grant agreement with the Department of Industry, Innovation and Science acting on behalf of the Commonwealth. We will confirm details specific to your project and provide the agreement to you shortly. We have attached a sample grant agreement for your information.

We cannot make any grant payments until we execute the grant agreement with you. 'Execute' means both you and the Commonwealth Government sign the grant agreement. You will be responsible for any expenses incurred before we execute the grant agreement.

The program guidelines explain how we will manage the grant agreement and inform you of your obligations. This includes notifying us immediately if the project or your circumstances change significantly from that described in your application.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>

<signature block 2>

<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Unsuccessful application

Thank you for your application under the Incubator Support initiative.

This is a merit based program. Successful applications had to rate highly against each merit criterion taking into consideration the project size, complexity, grant amount requested, and the risks associated with the project.

Unfortunately your application was not successful as it did not rate sufficiently highly against all of the merit criteria. Please refer to the attached feedback provided on your application against the merit criteria.

Decisions are final and will not be reviewed.

However, you are welcome to submit a new application which includes new or additional information to address the points raised above.

Thank you for your interest in the Incubator Support initiative.

We offer a number of other programs and services to support Australian industry, to find out more visit [www.business.gov.au](http://www.business.gov.au).

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Application withdrawal

Thank you for informing us that <organisation name> has decided to withdraw its application submitted under the Incubator Support initiative.

We have updated our records.

If we can help in any other way please visit [business.gov.au](http://business.gov.au) or contact me on <phone number>.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



# Commonwealth Grant Agreement

between the Commonwealth represented by

**[Entity name]**

and

**[Grantee]**

**[Reference number]**

NB: This is an example grant agreement intended for use with the Incubator Support initiative for New and Existing Incubators grants. The Commonwealth reserves the option to amend or adjust the form of the grant agreement.

**Template Instructions:**

Delete all drafting notes and any options not used including all text in square brackets before providing this Agreement to the Grantee.

**Template Instructions:** Once completed, this document, together with each set of Grant Details and the Commonwealth General Grant Conditions (Schedule 1), forms an Agreement between the Commonwealth and the Grantee.

You should enter the specific details of each particular Grant, such as the purpose of the Grant, the Parties involved, and the details of the Activity to be undertaken, in the **Grant Details**. The Grant Details also include any Supplementary Terms that apply to the Activity, such as specific legislative requirements or industry standards for each Grant.

Representatives of the Commonwealth and the Grantee must sign the Agreement on the **signatures page**.

**Template Instructions: - Multiple Grant Agreements**

More than one Grant can be covered in one Agreement. To do this, complete a separate Grant Details for each Grant and include a reference to the main Agreement in Item A of the Grant Details for each Grant. When entering into a Grant with a Grantee for the first time, or where a new Grant is to be a standalone agreement, complete the Grant Agreement section to create the new Agreement. When providing a subsequent Grant to a Grantee that forms part of an existing Agreement, complete a new Grant Details section, but delete the Grant Agreement section. The information in the existing Agreement will apply.

Find further guidance on issues to consider when deciding whether to enter into a 'new' Agreement for a subsequent Grant or whether to add it to an existing Agreement on the Finance website.

**Template Instructions:** The **Commonwealth General Grant Conditions** (General Grant Conditions) at Schedule 1 define the standard rights and obligations, and contain definitions, that apply to the entire Agreement. These conditions cannot be changed. However, any Supplementary Terms included in the Grant Details will take priority over the General Grant Conditions in the event of inconsistency. Note that any Supplementary Terms included in the Grant Details will only apply to the specific Grant covered by the Grant Details. Where a subsequent Grant is being provided under an existing Agreement, when completing the Grant Details for the Grant you will need to consider again whether any of the Supplementary Terms should apply to that Grant and include or delete as appropriate.



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## Grant Agreement [grant number]

Once completed, this document, together with each set of Grant Details and the Commonwealth General Grant Conditions (Schedule 1), forms an Agreement between the Commonwealth and the Grantee.

### Parties to this Agreement

**Template Instructions:** You should provide details of both the Grantee and your entity, which represents the Commonwealth. Not all the information will be necessary for every Grantee or every Agreement.

However, make sure there is enough information to properly identify the Grantee including their full legal name. If the Grantee is a trustee of a trust, you should ensure that you include both the full legal name of the Grantee, and the full name of the trust. In this situation, check that the ABN and GST information that is included is the ABN and GST registration that relates to the trust (rather than the trustee itself).

### The Grantee

|                                                                                          |                  |
|------------------------------------------------------------------------------------------|------------------|
| Full legal name of Grantee                                                               | [insert details] |
| Legal entity type (e.g. individual, incorporated association, company, partnership, etc) | [insert details] |
| Trading or business name                                                                 | [insert details] |
| Any relevant licence, registration or provider number                                    | [insert details] |
| Australian Business Number (ABN) or other entity identifiers                             | [insert details] |
| Australian Company Number (ACN)                                                          | [insert details] |
| Registered for Goods and Services Tax (GST)?                                             | [insert details] |
| Date from which GST registration was effective?                                          | [insert details] |
| Registered office (physical/postal)                                                      | [insert details] |
| Relevant business place (if different)                                                   | [insert details] |
| Telephone                                                                                | [insert details] |
| Email                                                                                    | [insert details] |

### The Commonwealth

The Commonwealth of Australia represented by the  
Department of Industry, Innovation and Science  
of 10 Binara Street CANBERRA ACT 2600  
ABN 74 599 608 295

## Commonwealth Grant Agreement

## Background

The Commonwealth has agreed to enter this Agreement under which the Commonwealth will provide the Grantee with one or more Grants for the purpose of assisting the Grantee to undertake the associated Activity.

The Grantee agrees to use [each/ the] Grant and undertake [each/ the] Activity in accordance with this Agreement and the relevant Grant Details.

## Scope of this Agreement

This Agreement comprises:

- (a) this document;
- (b) the Supplementary Terms (if any);
- (c) the General Grant Conditions (Schedule 1);
- (d) the Grant Details;
- (e) any other document referenced or incorporated in the Grant Details.

Each set of Grant Details, including Supplementary Terms (if any), only applies to the particular Grant and Activity covered by that set of Grant Details and a reference to the 'Agreement' in the Grant Details or the Supplementary Terms is a reference to the Agreement in relation to that particular Grant and Activity. If there is any ambiguity or inconsistency between the documents comprising this Agreement in relation to a Grant, the document appearing higher in the list will have precedence to the extent of the ambiguity or inconsistency.

This Agreement represents the Parties' entire agreement in relation to each Grant provided under it and the relevant Activity and supersedes all prior representations, communications, agreements, statements and understandings, whether oral or in writing.

Certain information contained in or provided under this Agreement may be used for public reporting purposes.

## Grant Details [grant number]

**Template Instructions:** When completed, the Grant Details should contain all the information necessary to complete the Activity for which the Grant was provided, including any reports necessary for evaluation of the Grant.

### A. Purpose of the Grant

The purpose of the Grant is to:

- [support new Australian incubators targeting innovative start-ups to assist them to trade internationally]

[or]

- [expand the scale and operations of existing Australian incubators to increase innovative start-ups' chances of success in international markets]
- [develop new innovative Australian start-ups with a focus on international markets]
- [create opportunities for Australian start-ups to develop sustainable international businesses through access to open public data].

The Grant is being provided as part of the Incubator Support initiative, an element of the Entrepreneurs' Programme.

The initiative aims to:

- assist Australian start-ups to develop the capabilities required to achieve commercial success in international markets and realise their economic potential faster than they otherwise would
- develop Australia's innovation ecosystem including in regional areas.

### B. Activity

**Template Instructions:** You should include a detailed description of the Activity linked to relevant key performance indicators. If appropriate, you can structure this using 'milestones' or 'stages' - particularly if the Grant is paid in instalments or where the Grantee is required to provide any reporting of the Activity (whether performance or financial). Include the details of any reports required as part of the Activity at Item E below. If appropriate, you should include details of anything that is not part of the Activity and therefore not covered by the expenditure of the Grant.

The Activity is made up of your Project and all eligible project activities as specified in these Grant Details.

[Describe the Project, i.e. what the grantee will spend the grant funds doing. It is important to include enough detail to allow the Commonwealth to judge whether what the grantee is doing/spending the grant funds on falls within the approved scope. Use the following headings]

- Project scope and description
- Key eligible activities

The Project will [add any program specifics if applicable e.g. needs to be located in a particular region].

In undertaking the Activity, the Grantee must comply with the requirements of the Program Guidelines (as in force from time-to-time).

If you make a public statement or publish any material about your Project you must acknowledge the grant by using the following: 'This project received grant funding from the Australian Government.' You must not use the Commonwealth Coat of Arms in connection with the Grant or the Activity without the Commonwealth's prior written approval.

You must notify us about events relating to the Project and provide an opportunity for the Minister or their representative to attend.

## C. Duration of the Activity

**Template Instructions:** You should specify the anticipated Activity start date and Completion Date. Make sure the Completion Date takes account the submission and acceptance of any reporting required under items B and E. Note that Activity start and end date may not correspond with the Project start and end date for example when post project reporting is required.

The Activity starts on [insert date/event, e.g. the date of offer] and ends on [insert date/event that provides sufficient time for completing all outstanding activities under the agreement, including final payment. Cannot be before project end date] (Completion Date).

**Template Instructions:** The following schedule is an example of how you might specify the timing of specific events. Clearly link the milestones with the description of the Activity in item 'B. Activity' above and/or any reporting requirements in item 'E. Reporting' below.

Audit reports are only required where the eligible project value is greater than \$500,000.

### Activity Schedule

| No. | Title and description                                                                                                   | Due date     |
|-----|-------------------------------------------------------------------------------------------------------------------------|--------------|
| 1   | Project start date                                                                                                      | [dd/mm/yyyy] |
| 2   | [title and description of milestone, include key activities and basis for determining that milestone has been achieved] | [dd/mm/yyyy] |
| 3   | [title and description of milestone, include key activities and basis for determining that milestone has been achieved] | [dd/mm/yyyy] |
| 4   | Project end date                                                                                                        | [dd/mm/yyyy] |
| 5   | Final report /[Independent audit report]                                                                                | [dd/mm/yyyy] |

## D. Payment of the Grant

The maximum Grant amount is [grant amount] (plus GST if applicable).

The Grant will be provided at up to 50 per cent of the total eligible project value, subject to satisfactory progress towards milestones and availability of Program funds. Eligible project value is the total of eligible expenditure and eligible in-kind contributions as defined in appendix B and D of the Program Guidelines.



The Grant will be paid over the following financial years subject to sufficient Program funding being available. The Commonwealth is not obliged to make a payment if it would result in the amount paid in a financial year exceeding the annual capped amount for that financial year as specified in this table.

| Financial year              | \$ capped amount (plus GST as applicable) |
|-----------------------------|-------------------------------------------|
| [financial year as yyyy/yy] | [insert amount]                           |
| [financial year as yyyy/yy] | [insert amount]                           |
| Total                       | [total grant amount]                      |

We will make an initial payment into the bank account that you nominate in the Supplier Details form within 28 days of receiving your signed agreement documents.

We will pay your initial payment and subsequent payments up to six months in advance, based on your forecast eligible project expenditure and adjusted for unspent amounts from previous payments, subject to available funds and satisfactory progress on the project. We will retain a minimum of \$5,000 or 10 per cent of the total grant funding (whichever is higher) for the final payment when you submit a satisfactory final report demonstrating you have met end of project reporting obligations.

We may notify you of issues or concerns with the project and withhold the Grant if we consider that you are unable to undertake the project in accordance with this Agreement. We will pay the Grant once you have corrected the issues raised in the notice.

## Invoicing

The Grantee agrees to allow the Commonwealth to issue it with a Recipient Created Tax Invoice (RCTI) for any taxable supplies it makes in relation to the Activity.

The Grantee agrees not to issue tax invoices in respect of any taxable supplies.

The Grantee acknowledges that where it is registered for Goods and Services Tax (GST) it will notify the Commonwealth if it subsequently ceases to be registered for GST.

GST means a tax that is payable under GST law as defined in the *A New Tax System (Goods and Services Tax) Act 1999 (Cth)*.

## E. Reporting

**Template Instructions:** In this section you should clearly establish any reporting requirements that form part of the Activity. You should include a description of what to include in the report, details of any particular certification or 'sign-off' (e.g. signed by the chief executive officer, an auditor etc) and the due date to provide the report. The default position under the General Grant Conditions is that acquittals require a signed statement by the Grantee. You should indicate who is required to sign the statement here if there is a requirement for a particular individual to do so.

Independently audited financial reports are required for projects over \$500,000 in value. You should indicate it here and you must include Supplementary Term 'G4. Audit' in the Supplementary Terms.

Final and Audit reports are due within 60 days of completion of the milestone or project completion. Progress reports are due within 30 days of completion of the relevant milestone(s).

Where a project is claiming regional status, you must request evidence to substantiate that claim in the progress and final reports.

The Grantee agrees to provide the following reports to the Commonwealth representative in accordance with the Reporting Templates (Schedule 2).

| Report type                            | Period start date    | Period end date    | Agreed evidence                                      | Due date                    |
|----------------------------------------|----------------------|--------------------|------------------------------------------------------|-----------------------------|
| [e.g. Progress]                        | [project start date] | [dd/mm/yyyy]       | [agreed evidence]                                    | <period end date + 30 days> |
| [e.g. Progress]                        | [dd/mm/yyyy]         | [dd/mm/yyyy]       | [agreed evidence]                                    | <period end date + 30 days> |
| [e.g. Progress]                        | [dd/mm/yyyy]         | [dd/mm/yyyy]       | [agreed evidence]                                    | <period end date + 30 days> |
| Final report                           | [dd/mm/yyyy]         | [project end date] | [agreed evidence]                                    | <period end date + 60 days> |
| Independent audit report (if required) | [project start date] | [project end date] | Satisfactory report completed by independent auditor | <period end date + 60 days> |

During the Agreement period, we may ask you for ad-hoc reports on your project. You must provide these reports in the timeframes notified by the Commonwealth.

## F. Party representatives and address for notices

### Grantee's representative and address

|                               |                  |
|-------------------------------|------------------|
| Grantee's representative name | [insert details] |
| Position                      | [insert details] |
| Postal/physical address(es)   | [insert details] |
| Business hours telephone      | [insert details] |
| Mobile                        | [insert details] |
| Fax                           | [insert details] |
| E-mail                        | [insert details] |



## Commonwealth representative and address

|                             |                                                |
|-----------------------------|------------------------------------------------|
| Name of representative      | [insert details of AusIndustry representative] |
| Position                    | [insert details]                               |
| Postal/physical address(es) | [insert details]                               |
| Business hours telephone    | [insert details]                               |
| Mobile                      | [insert details]                               |
| Fax                         | [insert details]                               |
| E-mail                      | [insert details]                               |

The Parties' representatives will be responsible for liaison and the day-to-day management of the Grant, as well as accepting and issuing any written notices in relation to the Grant.

## G. Supplementary Terms

### G1 Other Contributions

G1.1 Other Contributions means financial or in-kind contributions other than the Grant as set out below:

| Contributor               | Contribution (\$GST excl)    | Due date     |
|---------------------------|------------------------------|--------------|
| Grantee cash contribution | [\$Grantee contribution]     | [dd/mm/yyyy] |
| In-kind contribution      | [\$In-kind contribution]     | [dd/mm/yyyy] |
| Other government sources  | [\$Other government sources] | [dd/mm/yyyy] |

G1.2 The Grantee agrees to provide, or to ensure the provision of, the Other Contributions and to use them to undertake the Activity. If the Other Contributions are not provided in accordance with this clause, then the Commonwealth may:

- (a) suspend payment of the Grant until the Other Contributions are provided; or
- (b) terminate this Agreement in accordance with clause 18 of the General Grant Conditions.

### G2 Activity budget

G2.1 The Grantee agrees to use the Grant and any Other Contributions and undertake the Activity consistent with the following budget

| Eligible cost item<br>(amounts must be GST inclusive less GST credits you can claim) | Estimated cost<br>[yyyy/yy] | Estimated cost<br>[yyyy/yy] | Estimated cost<br>[yyyy/yy] | Total \$  |
|--------------------------------------------------------------------------------------|-----------------------------|-----------------------------|-----------------------------|-----------|
| Labour                                                                               | [\$value]                   | [\$value]                   | [\$value]                   | [\$value] |
| Contractors                                                                          | [\$value]                   | [\$value]                   | [\$value]                   | [\$value] |

| Eligible cost item<br>(amounts must be GST<br>inclusive less GST credits<br>you can claim) | Estimated<br>cost<br>[yyyy/yy] | Estimated<br>cost<br>[yyyy/yy] | Estimated<br>cost<br>[yyyy/yy] | Total \$       |
|--------------------------------------------------------------------------------------------|--------------------------------|--------------------------------|--------------------------------|----------------|
| Workshops, conferences,<br>events                                                          | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| Travel                                                                                     | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| Equipment (including<br>software)                                                          | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| Subtotal eligible expenditure                                                              | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| In-kind access to services                                                                 | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| In-kind access to facilities                                                               | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| In-kind access to resources                                                                | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| In-kind other contributions                                                                | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| Sub-total in-kind contributions                                                            | \$(value)                      | \$(value)                      | \$(value)                      | \$(value)      |
| Total Project costs                                                                        | \$(total cost)                 | \$(total cost)                 | \$(total cost)                 | \$(total cost) |

### G3 Record keeping

#### G3.1 The Grantee agrees to:

- (a) maintain records that identify the receipt and expenditure of the Grant and any Other Contributions separately within the Grantee's accounts and records so that at all times the Grant is identifiable; and
- (b) keep financial accounts and records relating to the Activity so as to enable all receipts and payments related to the Activity to be identified and reported; and

#### G3.2 The Grantee agrees to maintain the records for five years after the Completion Date and provide copies of the records to the Commonwealth representative upon request.

#### G3.3 Term G3 survives the termination, cancellation or expiry of the Agreement.

### G4 Audit

#### G4.1 The Grantee may be required to provide the Commonwealth with independently audited financial acquittal reports verifying that the Grant was spent in accordance with this Agreement.

#### G4.2 Independently audited financial acquittal reports must be audited by:

- (a) a Registered Company Auditor under the *Corporations Act 2001* (Cth); or
- (b) a certified practising accountant; or
- (c) a member of the Institute of Public Accountants; or
- (d) a member of the Chartered Accountants Australia and New Zealand;

who is not a principal member, shareholder, officer or employee of the Grantee or a related body corporate.

## G5 Activity Material

Not Applicable

## G6 Access

- G6.1 The Grantee agrees to give the Commonwealth, or any persons authorised in writing by the Commonwealth, access to premises where the Activity is being performed and to permit those persons to inspect and take copies of any Material relevant to the Activity.
- G6.2 The Auditor-General and any Information Officer under the *Australian Information Commissioner Act 2010* (Cth) (including their delegates) are persons authorised for the purposes of clause G6.1.
- G6.3 Term G6 does not detract from the statutory powers of the Auditor-General or an Information Officer (including their delegates).

## G7 Equipment and assets

**Template Instructions:** Equipment and assets purchased by the Grantee for the purpose of the Activity are owned by the Grantee. Where significant equipment and assets are going to be required to undertake the Activity and/or you require the Grantee to keep records of equipment and assets purchased with the Grant the following clause(s) can be used. Consider whether a budget would also be appropriate - see Supplementary Term 'G2. Activity budget' above. You should indicate "Not Applicable" and delete all other highlighted text if this Supplementary Term is not included.

- G7.1 The Grantee agrees to obtain the Commonwealth's prior written approval to use the Grant to purchase any equipment or asset for more than \$5,000 (including GST), apart from those listed in the Budget and/or detailed below:
- (a) [insert list of approved equipment and assets]
- G7.2 The Grantee agrees to maintain a register of all equipment and assets purchased for \$5,000 (including GST) or more with the Grant in the form specified below and to provide the register to the Commonwealth upon request.

| Item number        | Description                                    | Total cost (including GST)             |
|--------------------|------------------------------------------------|----------------------------------------|
| [insert reference] | [insert description of the equipment or asset] | [insert total amount cost of the item] |

- G7.3 The Grantee agrees to use the equipment and assets for the purposes of the Activity.
- G7.4 The Grantee agrees that the proceeds of any equipment and assets purchased with the Grant disposed of during the Activity, must be treated as part of the Grant and used for the purposes of the Activity.

## G8 Relevant qualifications or skills

Not Applicable

## G9 Activity specific legislation, policies and industry standards

Not Applicable

## G10 Commonwealth Material, facilities and assistance

Not Applicable

## G11 Jurisdiction

G11.1 This Agreement is governed by the law of the Australian Capital Territory.

## G12 Grantee trustee of a Trust (if applicable)

G12.1 In this clause, 'Trust' means the trust specified in the Parties to the Agreement section of this Agreement.

G12.2 The Grantee warrants that:

- (a) it is the sole trustee of the Trust
- (b) it has full and valid power and authority to enter into this Agreement and perform the obligations under it on behalf of the Trust
- (c) it has entered into this Agreement for the proper administration of the Trust;
- (d) all necessary resolutions, consents, approvals and procedures have been obtained or duly satisfied to enter into this Agreement and perform the obligations under it;  
and
- (e) it has the right to be indemnified out of the assets of the Trust for all liabilities incurred by it under this Agreement.

## Signatures

### Executed as an agreement:

**Template Instructions:** You will need to consider the legal status and structure of the Grantee. The execution clause may need to be amended to reflect this. You should contact your legal area if you have any uncertainty as to how the Grantee should execute the Agreement. This is particularly the case where the Grantee is a partnership or a trust, or where the Grantee proposes an alternative form of execution clause.

## Commonwealth

Signed for and on behalf of the Commonwealth of Australia as represented by the Department of Industry, Innovation and Science [or insert entity name]

|                                |  |
|--------------------------------|--|
| <b>Name</b><br>(print)         |  |
| <b>Position</b><br>(print)     |  |
| <b>Signature and date</b>      |  |
| <b>Witness name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

**Template Instructions:** Select or insert the appropriate signature block depending on the nature of Grantee. Delete the signature blocks that are not used.

## Grantee

[or]

**Template Instructions:** Use this signature block if Grantee is a company.

|                                 |                                                   |
|---------------------------------|---------------------------------------------------|
| <b>Name of Company</b>          | [insert name of company and any ABN, ACN or ARBN] |
| <b>Director name</b><br>(print) |                                                   |
| <b>Signature and date</b>       |                                                   |

|                                                    |  |
|----------------------------------------------------|--|
| <b>Director/ Company Secretary name</b><br>(print) |  |
| <b>Signature and date</b>                          |  |

[or]

**Template Instructions:** Use this signature block if Grantee is an Incorporated Association.

|                                                    |                                                                                    |
|----------------------------------------------------|------------------------------------------------------------------------------------|
| <b>Full legal name of the Grantee</b>              | [insert name of incorporated association and any ABN or other registration number] |
| <b>Public officer's name</b><br>(print)            |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |
| <b>Committee Member/ Secretary name</b><br>(print) |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |

[or]

**Template Instructions:** Use this signature block if Grantee is a Local Governing Body or Unincorporated Association

|                                |  |
|--------------------------------|--|
| <b>Name</b><br>(print)         |  |
| <b>Position</b><br>(print)     |  |
| <b>Signature and date</b>      |  |
| <b>Witness name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

**Template Instructions:** If Grantee is a trustee of a Trust, you should confirm the legal status of the trustee and use the appropriate execution clause. For example, if the trustee is a company, use the company execution clause. Make sure that you use the name of the trustee (NOT the Trust) as the

Commonwealth Grant Agreement

'name' of the Grantee- as the trustee is the legal entity entering into the Agreement. If requested by the Grantee, the words 'as trustee of the XXX Trust' could be included at the end of the name.



## Schedule 1 Commonwealth General Grant Conditions

### 23. Undertaking the Activity

The Grantee agrees to undertake the Activity in accordance with this Agreement.

### 24. Acknowledgements

The Grantee agrees to acknowledge the Commonwealth's support in Material published in connection with this Agreement and agrees to use any form of acknowledgment the Commonwealth reasonably specifies.

### 25. Notices

3.0 The Parties agree to notify the other Party of anything reasonably likely to affect the performance of the Activity or otherwise required under this Agreement.

3.1 A notice under this Agreement must be in writing, signed by the Party giving notice and addressed to the other Party's representative.

### 26. Relationship between the Parties

A Party is not by virtue of this Agreement the employee, agent or partner of the other Party and is not authorised to bind or represent the other Party.

### 27. Subcontracting

3.0 The Grantee remains responsible for compliance with this Agreement, including in relation to any tasks undertaken by subcontractors.

3.1 The Grantee agrees to make available to the Commonwealth the details of any of its subcontractors engaged to perform any tasks in relation to this Agreement upon request.

### 28. Conflict of interest

The Grantee agrees to notify the Commonwealth promptly of any actual, perceived or potential conflicts of interest which could affect its performance of this Agreement and agrees to take action to resolve the conflict.

### 29. Variation

This Agreement may be varied in writing only, signed by both Parties.

### 30. Payment of the Grant

3.0 The Commonwealth agrees to pay the Grant to the Grantee in accordance with the Grant Details.

3.1 The Commonwealth may by notice withhold payment of any amount of the Grant where it reasonably believes the Grantee has not complied with this Agreement or is unable to undertake the Activity.

3.2 A notice under clause 8.2 will contain the reasons for any payment being withheld and the steps the Grantee can take to address those reasons.

3.3 The Commonwealth will pay the withheld amount once the Grantee has satisfactorily addressed the reasons contained in a notice under clause 8.2.

### 31. Spending the Grant

3.0 The Grantee agrees to spend the Grant for the purpose of undertaking the Activity only.

3.1 The Grantee agrees to provide a statement signed by the Grantee verifying the Grant was spent in accordance with the Grant Details.

### 32. Repayment

3.0 If any of the Grant has been spent other than in accordance with this Agreement or any amount of the Grant is additional to the requirements of the Activity, the Grantee agrees to repay that amount to the Commonwealth unless agreed otherwise.

3.1 The amount to be repaid under clause 10.1 may be deducted by the Commonwealth from subsequent payments of the Grant.

### 33. Record keeping

The Grantee agrees to maintain records of the expenditure of the Grant.

### 34. Intellectual Property

3.0 The Grantee owns the Intellectual Property Rights in Material created undertaking the Activity.

3.1 The Grantee gives the Commonwealth a non-exclusive, irrevocable, royalty-free licence to use, reproduce, publish and adapt Reporting Material for Commonwealth Purposes.

3.2 The licence in clause 12.2 does not apply to Activity Material.

3.3 This Agreement does not affect the ownership of Intellectual Property Rights in Existing Material.

### 35. Privacy

When dealing with Personal Information in carrying out the Activity, the Grantee agrees not to do anything which, if done by the Commonwealth, would be a breach of an Australian Privacy Principle.

### 36. Confidentiality

The Parties agree not to disclose each other's confidential information without prior written consent unless required or authorised by law or Parliament.

### 37. Insurance

The Grantee agrees to maintain adequate insurance for the duration of this Agreement and provide the Commonwealth with proof when requested.

### 38. Indemnities

3.0 The Grantee indemnifies the Commonwealth, its officers, employees and contractors against any claim, loss or damage arising in connection with the Activity.

3.1 The Grantee's obligation to indemnify the Commonwealth will reduce proportionally to the extent any act or omission involving fault

on the part of the Commonwealth contributed to the claim, loss or damage.

### 39. Dispute resolution

- 3.0 The Parties agree not to initiate legal proceedings in relation to a dispute unless they have tried and failed to resolve the dispute by negotiation.
- 3.1 The Parties agree to continue to perform their respective obligations under this Agreement where a dispute exists.
- 3.2 The procedure for dispute resolution does not apply to action relating to termination or urgent litigation.

### 40. Termination for default

The Commonwealth may terminate this Agreement by notice where it reasonably believes the Grantee:

- (a) has breached this Agreement; or
- (b) has provided false or misleading statements in their application for the Grant; or
- (c) has become bankrupt or insolvent, entered into a scheme of arrangement with creditors, or come under any form of external administration.

### 41. Cancellation for convenience

- 3.0 The Commonwealth may cancel this Agreement by notice, due to
- (a) a change in government policy; or
  - (b) a Change in the Control of the Grantee, which the Commonwealth believes will negatively affect the Grantee's ability to comply with this Agreement.
- 3.1 The Grantee agrees on receipt of a notice of cancellation under clause 19.1 to:
- (a) stop the performance of the Grantee's obligations as specified in the notice; and
  - (b) take all available steps to minimise loss resulting from that cancellation.
- 3.2 In the event of cancellation under clause 19.1, the Commonwealth will be liable only to:
- (a) pay any part of the Grant due and owing to the Grantee under this Agreement at the date of the notice; and
  - (b) reimburse any reasonable expenses the Grantee unavoidably incurs that relate directly to the cancellation and are not covered by 19.3(a).
- 3.3 The Commonwealth's liability to pay any amount under this clause is subject to:
- (a) the Grantee's compliance with this Agreement; and
  - (b) the total amount of the Grant.
- 3.4 The Grantee will not be entitled to compensation for loss of prospective profits or benefits that would have been conferred on the Grantee.

### 42. Survival

Clauses 10, 12, 13, 14, 16, 20 and 21 survive termination, cancellation or expiry of this Agreement.

### 43. Definitions

In this Agreement, unless the contrary appears:

- **Activity** means the activities described in the Grant Details.
- **Activity Material** means any Material, other than Reporting Material, created or developed by the Grantee as a result of the Activity.
- **Agreement** means the Grant Details, Supplementary Terms (if any), the Commonwealth General Grant Conditions and any other document referenced or incorporated in the Grant Details.
- **Australian Privacy Principle** has the same meaning as in the *Privacy Act 1988*.
- **Change in the Control** means any change in any person(s) who directly exercise effective control over the Grantee.
- **Commonwealth** means the Commonwealth of Australia as represented by the Commonwealth entity specified in the Agreement and includes, where relevant, its officers, employees, contractors and agents.
- **Commonwealth General Grant Conditions** means this document.
- **Commonwealth Purposes** does not include commercialisation or the provision of the Material to a third party for its commercial use.
- **Completion Date** means the date or event specified in the Grant Details.
- **Existing Material** means Material developed independently of this Agreement that is incorporated in or supplied as part of Reporting Material.
- **Grant** means the money, or any part of it, payable by the Commonwealth to the Grantee as specified in the Grant Details.
- **Grantee** means the legal entity specified in the Agreement and includes, where relevant, its officers, employees, contractors and agents.
- **Grant Details** means the document titled Grant Details that forms part of this Agreement.
- **Intellectual Property Rights** means all copyright, patents, registered and unregistered trademarks (including service marks), registered designs, and other rights resulting from intellectual activity (other than moral rights under the *Copyright Act 1968*).
- **Material** includes documents, equipment, software (including source code and object code versions), goods, information and data stored by any means including all copies and extracts of them.
- **Party** means the Grantee or the Commonwealth.
- **Personal Information** has the same meaning as in the *Privacy Act 1988*.
- **Reporting Material** means all Material which the Grantee is required to provide to the Commonwealth for reporting purposes as specified in the Grant Details.

## Schedule 2 Reporting templates

### Appendix 1

#### Incubator Support - New and Existing Incubators progress report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                 |                                                                                  |
|-----------------|----------------------------------------------------------------------------------|
| Project number  | [project number]                                                                 |
| Grantee name    | [grantee name]                                                                   |
| Project title   | [project title]                                                                  |
| Progress period | [project period start date] to [project period end date] as per grant agreement] |

#### Project progress

- a. Complete the following table, updating for all milestones shown in the Activity Schedule of your grant agreement. Add rows as required.

| No  | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) as at reporting period |
|-----|---------------------------|------------------------|-------------------------------------|--------------------------------------------------------|
| (f) | [milestone 1 description] | [dd/mm/yy]             |                                     |                                                        |
| (g) | [milestone 2 description] | [dd/mm/yy]             |                                     |                                                        |
| (h) | [milestone 3 description] | [dd/mm/yy]             |                                     |                                                        |
| (i) | [milestone 4 description] | [dd/mm/yy]             |                                     |                                                        |

- b. Describe the eligible activities you have completed during this reporting period, including your progress against milestones and any outcomes achieved. If applicable, comment on why your progress is delayed.

- c. Attach any agreed evidence required to demonstrate your progress to date. List the attached documents below against the relevant activity/s.

- d. If you have a regional project, attach agreed evidence to demonstrate where the majority of your activities have been undertaken. List the attached documents below against the relevant activity.

- e. Is the overall project proceeding as per your project plan and grant agreement?

Yes ☐ No ☐

If no, identify any changes or anticipated issues. Comment on any impacts on project timing and outcomes and how you expect to manage these.

- f. Are there any planned events relating to the project that you are ☐ yes ☐ no required to notify us about in accordance with your agreement?

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

- g. Attach copies of any published reports and promotional material relating to the project, and list them below.

### Eligible project value summary

- a. Complete the following table explaining the:

- i. expenditure incurred and in-kind contribution provided prior to this report,
- ii. expenditure incurred and in-kind contribution for this reporting period, and
- iii. estimated future expenditure and in-kind contribution for the next reporting period.

All figures must be GST inclusive less GST inputs you can claim.

| Eligible project value                 | Cost |
|----------------------------------------|------|
| i. Eligible expenditure (cash) to date | \$   |
| ii. In-kind contributions to date      | \$   |

|                                                                      |    |
|----------------------------------------------------------------------|----|
| iii. Total eligible project value to date (i + ii)                   | \$ |
| iv. Eligible expenditure (cash) this reporting period                | \$ |
| v. In-kind contributions this reporting period                       | \$ |
| vi. Total eligible project value this reporting period (iv + v)      | \$ |
| vii. Estimated expenditure (cash) next reporting period              | \$ |
| viii. Estimated? In-kind contributions next reporting period         | \$ |
| ix. Estimated total project value next reporting period (vii + viii) | \$ |
| x. Estimated remaining total project value                           | \$ |

b. Is this project expenditure broadly in line with the activity budget in the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

## Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form, to complete your new bank details.

## Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the activities identified above are for the purposes stated in the grant agreement.
- I am aware of the grantee's obligations under their grant agreement, including the need to keep the Commonwealth informed of any circumstances that may impact on the objectives, completion and/or outcomes of the agreed project.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]

## Appendix 2

### Incubator Support - New and Existing Incubators final project report

Submit your completed report to your customer service manager via email.

[Note: the amount of detail you provide in this report should be commensurate with the project size, complexity and grant amount.]

|                |                                            |
|----------------|--------------------------------------------|
| Project number | [project number]                           |
| Grantee name   | [grantee name]                             |
| Project title  | [project title]                            |
| Project period | [project start date] to [project end date] |

#### 1. Project achievement

- a. Complete the following table, updating for all milestones shown in the activity schedule of your grant agreement. Add or delete rows as required.

| No | Milestone description     | Agreed completion date | Actual /anticipated completion date | Milestone progress (% complete) |
|----|---------------------------|------------------------|-------------------------------------|---------------------------------|
| 1  | [milestone 1 description] | [dd/mm/yy]             |                                     |                                 |
| 2  | [milestone 2 description] | [dd/mm/yy]             |                                     |                                 |
| 3  | [milestone 3 description] | [dd/mm/yy]             |                                     |                                 |
| 4  | [milestone 4 description] | [dd/mm/yy]             |                                     |                                 |

- b. Briefly outline the project milestones and activities completed by the project end date. If applicable, comment on why all milestones were not completed by the project end date.

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- c. Attach any agreed evidence required with this report to demonstrate successful completion of your project. List the attached documents below against the relevant activities.

|  |
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- d. If you had a regional project, attach agreed evidence to demonstrate where the majority of your activities have been undertaken. List the attached documents below against the relevant activity.



## Project outcomes

- a. Outline the project outcomes achieved by the project end date.

*Did you achieve the project outcomes as anticipated? Describe how many cohorts, workshops or events were delivered; how many startups successfully completed your incubator or accelerator program; how many services your incubator provided. Provide details on the total investment raised, increase in employee numbers across startups, did your Incubator assist startups with any other significant achievement such as IPO; commercialisation; partnerships/collaborations.*

- b. Do the achieved project outcomes align with those specified in the grant agreement?

Yes ☐ No ☐

If no, explain why.

- c. Attach copies of any published reports and promotional material, relating to the project, and list them below.

- d. Are there any planned events relating to the project that you are required to notify us about in accordance with your agreement? ☐ yes ☐ no

If yes, please provide details of the event including date, time, purpose of the event and key stakeholders expected to attend.

## Project benefits

- a. Explain how your project will continue to have an impact now that the grant project has finished.

- b. Outline the number and type of services that were provided to start-up participants through your project.



*Examples of these may include advice or services for business capability; financial; marketing; product development; resourcing; access to facilities and equipment; workshops; mentoring; events.*

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|    | Question                                                                                                                                                                                                                                                                                                                                            | response |
|----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| c. | How many start-up participants received tailored management services?<br><i>e.g. services that were tailored specifically for the start-up that might include business improvement/capability development, business plans, financial; marketing; resourcing; mentoring.</i>                                                                         |          |
| d. | How many of the start-up participants that received tailored management services are located in regional areas?<br><i>The <u>regional locator tool</u> will assist you to determine if a start-up is regional. We consider all start-ups located in Inner Regional, Outer Regional, Remote and Very Remote classification areas to be regional.</i> |          |
| e. | As part of your project, did you conduct specific activities to encourage or facilitate investment for start-ups?                                                                                                                                                                                                                                   |          |
| f. | How many start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                                       |          |
| g. | How many start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                                 |          |
| h. | What is the total value of private sector investment in participant start-ups that is attributable to the project to date?                                                                                                                                                                                                                          | \$       |
| i. | As part of your project, did you conduct specific activities to encourage or facilitate investment for <b>regional</b> start-ups?                                                                                                                                                                                                                   |          |
| j. | How many <b>regional</b> start-up participants have had contact with interested investors, or received investment offers due to this project?                                                                                                                                                                                                       |          |
| k. | How many <b>regional</b> start-up participants have been successful in securing investment to date?                                                                                                                                                                                                                                                 |          |
| l. | What is the total value of private sector investment in <b>regional</b> participant start-ups that is attributable to the project to date?                                                                                                                                                                                                          | \$       |
| m. | How many new business networks have you established as a result of the Incubator Support grant?<br><i>Examples include strategic or investment partnerships; collaborations; researchers, mentors, advisers and supply chain networks.</i>                                                                                                          |          |

|    | Question                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | response |
|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| n. | <p>How many start-up participants have:</p> <ul style="list-style-type: none"> <li>• formed new collaborations or partnerships with other businesses, universities, research organisations or supply chains due to this project?</li> <li>• increased their revenue or expanded their business due to this project?</li> <li>• successfully engaged in international trade as a result of this project?</li> <li>• successfully engaged in domestic trade as a result of this project?</li> </ul> |          |
| o. | How many of the start-up participants did you assist in accessing and using the DataStart program?                                                                                                                                                                                                                                                                                                                                                                                                |          |
| p. | How many of these were regional start-ups?                                                                                                                                                                                                                                                                                                                                                                                                                                                        |          |

q. Provide any additional information to explain your answers in the table more fully.

r. Provide the ABNs for all start-up participants that have participated in your incubator as a result of project funding.

*You should also provide the number of start-ups that have not yet registered for an ABN.*

*We require you to provide details of all start-ups that have had an extended engagement (at least 2 months), and have participated in your incubator as part of the project.*

s. Provide the contact details (email and phone number) for all start-up businesses that have been incubated by you as a result of project funding:

*We only use contact details of participating start-ups for program evaluation purposes.*

*We required you to provide details of all, or a representative sample of start-ups that have had an extended engagement (at least 2 months) and have participated in your incubator as part of the project.*

## Total eligible expenditure incurred for your project

a. Complete the following tables recording your actual expenditure and in-kind contributions incurred on your project. All expenditure should be GST inclusive, less GST credits you can claim.

*Refer to the program guidelines or contact us if you have any questions about eligible expenditure.*

| Eligible expenditure items            | Total (GST inclusive less any GST credits you can claim) |
|---------------------------------------|----------------------------------------------------------|
| Labour                                | \$                                                       |
| Contractors                           | \$                                                       |
| Workshop, conferences and events      | \$                                                       |
| Travel and overseas expenditure       | \$                                                       |
| Equipment (including software)        | \$                                                       |
| Other eligible expenditure            | \$                                                       |
| <b>Sub total eligible expenditure</b> | <b>\$</b>                                                |

| In-kind contributions (non-cash)                       | Total (GST inclusive less any GST credits you can claim) |
|--------------------------------------------------------|----------------------------------------------------------|
| Access to services (e.g. mentoring, business planning) | \$                                                       |
| Access to facilities (e.g. office accommodation)       | \$                                                       |
| Access to resources (e.g. ICT software)                | \$                                                       |
| Other in-kind contributions                            | \$                                                       |
| <b>Sub total eligible in-kind contributions</b>        | <b>\$</b>                                                |

|                                                                  |           |
|------------------------------------------------------------------|-----------|
| <b>Total eligible project value (total of both tables above)</b> | <b>\$</b> |
|------------------------------------------------------------------|-----------|

- b. Was the expenditure incurred in accordance with [the activity budget in] the grant agreement?

Yes ☐ No ☐

If no, explain the reason for any underspend or overspend.

- c. How much cash was invested in your project? Include all investment except this grant. This includes any private sector, other government, your own contributions or partner contributions. Complete the following table and add rows as required.

| Contributor       | Contribution (GST excl) |
|-------------------|-------------------------|
| Grantee           | \$                      |
| [Name of partner] | \$                      |

## Updated business indicators

- a. Complete the following table with regard to your organisation only. These fields are mandatory and entering \$0 is acceptable if applicable. If they clearly do not apply to your organisation you may select not applicable.

*We collect the following data from all grantees across all grant programs. We use this data to better understand your business and to help us develop better policies and programs.*

*All amounts in the table below must show a whole dollar value e.g. \$1 million should be presented as \$1,000,000.*

| Recent trading performance                                                           | Latest complete financial year<br>[yyyy-yy] |
|--------------------------------------------------------------------------------------|---------------------------------------------|
| Sales revenue (turnover)                                                             | \$                                          |
| Export revenue                                                                       | \$                                          |
| R&D expenditure                                                                      | \$                                          |
| Taxable income                                                                       | \$                                          |
| Number of employees including working proprietors and salaried directors (headcount) |                                             |
| Number of independent contractors (headcount)                                        |                                             |

## Bank account details

Have your bank account details changed, since your last payment?

Yes ☐ No ☐

If yes, a customer service manager from AusIndustry will provide you with a form to complete your new bank details.

## Certification

I .....being a person duly authorised by the grantee hereby certify that:

- the information in this report is accurate, complete and not misleading and that I understand the giving of false or misleading information is a serious offence under the *Criminal Code 1995* (Cth).
- the grant was spent in accordance with the grant agreement
- I am aware of the grantee's obligations under their grant agreement, including survival clauses.
- I am aware that the grant agreement empowers the Commonwealth to terminate the grant agreement and to request repayment of funds paid to the grantee where the grantee is in breach of the grant agreement.

Signed .....Date

[Position/ title]

## Appendix 3

### [Program name] - Independent audit report

#### Background

These templates assist grant recipients (and their auditors) to understand the audit requirements under a [program name] grant agreement. For further information contact us on 13 28 46 or at [business.gov.au](http://business.gov.au).

All [program name] grant recipients enter into a grant agreement with the Commonwealth. Under this grant agreement, when an independent audit report is required the grant recipient must provide us with:

- a statement of grant income and expenditure against the expenditure categories under the grant agreement (attachment A)
- an independent audit report on the statement of grant income and expenditure (attachment B)
- certification of certain matters by the auditor (attachment C).

You can find additional information on [program name] at [business.gov.au](http://business.gov.au) or by calling us on 13 28 46.

#### Eligible expenditure

Advice on eligible expenditure for projects under the [program name] can be found in [program name] program guidelines. These guidelines are revised from time to time and therefore more than one version of the document may exist. For [program name] grant recipients, the relevant guidelines are those that were effective at the time the application was accepted.

It is essential that grant recipients and their auditors understand the [program name] eligible expenditure requirements because these determine whether, and the extent to which, certain costs are reportable and claimable.

The amount of grant funding we approve is based on the grant recipient's estimated eligible expenditure, as provided in their application. However, the grant funding any grant recipient is ultimately entitled to receive is determined against actual eligible expenditure incurred and paid for on the project. The grant amount specified in the grant agreement is the **maximum** amount the grant recipient may be paid.

The expenditure reported in the 'statement of grant income and expenditure' at attachment A must represent actual 'eligible expenditure' paid on the project during that period.

## Attachment A – Statement of grant income and expenditure

[program name]

|                             |                                                           |
|-----------------------------|-----------------------------------------------------------|
| Project number              | [project number]                                          |
| Grant recipient             | [organisation]                                            |
| Project title               | [project title]                                           |
| Reporting period start date | [project start date or other reporting period start date] |
| Reporting period end date   | [project end date or other reporting period end date]     |

This statement of grant income and expenditure must be prepared by the grant recipient and contain the following:

- Statement of funds, grant recipient contributions and other financial assistance\*
- Statement of eligible expenditure\*
- Notes to the statement of eligible expenditure, explaining the basis of compilation
- Certification by directors of the grant recipient

\*We will compare this information to that detailed in the grant agreement.

### 1. Statement of funds, grant recipient contributions and other financial assistance

Complete the following table for all cash [and in-kind] contributions for your project for the period in question, including

- the [program name] grant
- other government funding
- your own contributions
- partner or other third party contributions
- any additional private sector funding.

Insert rows as required.

| Contributor          | Cash amount (GST excl)  | [Estimated in-kind amount (GST excl)] | Total (GST excl)        |
|----------------------|-------------------------|---------------------------------------|-------------------------|
| [Program name] grant | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| Grant recipient      | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| [enter contributor]  | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| [enter contributor]  | \$(enter amount)        | \$(enter amount)                      | \$(enter amount)        |
| <b>Total</b>         | <b>\$(enter amount)</b> | <b>\$(enter amount)</b>               | <b>\$(enter amount)</b> |

## Statement of eligible expenditure

Details of the eligible expenditure that has been incurred and paid for during the reporting period must be reported in the tables provided at Section 4 of the ISI final report.

Comment on any variance between the expenditure items and amounts detailed in the grant agreement and the actual items and amounts detailed in Section 4 of the ISI final report.

[enter details]

## Note to the statement of eligible expenditure.

### 3.1 Eligible expenditure

The eligible expenditure as reported in the statement of eligible expenditure is in accordance with the [program name] program guidelines.

### 3.2 Basis of compilation

This statement of eligible expenditure has been prepared to meet the requirements of the grant agreement between [enter grant recipient name] and the Commonwealth represented by the Department of Industry, Innovation and Science. Significant accounting policies applied in the compilation of the statement of grant income and expenditure include the following:

[enter details]



#### 4. Certification by directors [if not director, replace with appropriate equivalent]

[Grant recipient name]

[Project number]

For the period [dd/ mm/yyyy] to [dd/ mm/yyyy]

We confirm that, to the best of our knowledge and believe, having made such enquiries as we considered necessary for the purpose of appropriately informing ourselves:

##### **Statement of grant income and expenditure**

- a. We have fulfilled our responsibilities for the preparation of the statement of grant income and expenditure in accordance with the cash basis of accounting and the terms of the grant agreement with the Commonwealth, represented by the Department of Industry, Innovation and Science dated [enter date]; in particular, the statement of grant income and expenditure presents fairly in accordance therewith.
- b. All events subsequent to the date of the statement of grant income and expenditure which require adjustment or disclosure so as to present fairly the statement of grant income and expenditure, have been adjusted or disclosed.
- c. [Where applicable] The effects of uncorrected misstatements are immaterial, both individually and in the aggregate, to the statement of grant income and expenditure as a whole. A list of the uncorrected misstatements is attached to this representation letter.
- d. That all grant recipient contributions and other financial assistance were spent for the purpose of the project and in accordance with the grant agreement and that the grant recipient has complied with the grant agreement and relevant accounting policies.
- e. That salaries and allowances paid to persons involved in the project are in accordance with any applicable award or agreement in force under any relevant law on industrial or workplace relations.

Signature .....

Name [enter name]

Director

Date [dd/mm/yyyy]

Signature .....

Name [enter name]

Director

Date [dd/mm/yyyy]

## For Official Use Only

## 5. For Auditor use only

I certify that this statement of grant income and expenditure is the one used to prepare my independent audit report dated [enter date] for the Department of Industry, Innovation and Science.

Signature .....

Name [enter name]

Position [enter position]

Auditor's employer [enter employer name]

Date [dd/mm/yyyy]

## Attachment B - Independent audit report

### Background for auditors

The purpose of the independent audit report is to provide us with an auditor's opinion on the grant recipient's statement of grant income and expenditure. The statement of grant income and expenditure is prepared by the grant recipient to correspond with the expenditure reported to the department by the grant recipient for the same period, in the process of claiming grant payments.

The independent audit report must be prepared by a person who is an approved auditor.

An approved auditor is a person who is:

- a. registered as a company auditor under the *Corporations Act 2001* or an appropriately qualified member of Chartered Accountants Australia and New Zealand, or of CPA Australia or the Institute of Public Accountants; and
- b. not a principal, member, shareholder, officer, agent, subcontractor or employee of the grant recipient or of a related body corporate or a Connected Entity.

The audit should be undertaken and reported in accordance with Australian Auditing Standards.

The independent audit report must follow the required format and include any qualification regarding the matters on which the auditor provides an opinion. We may follow up any qualifications with the grant recipient or auditor. The independent audit report must be submitted on the auditor's letterhead.

Auditors must comply with the professional requirements of Chartered Accountants Australia and New Zealand, CPA Australia and the Institute of Public Accountants in the conduct of their audit.

If the auditor forms an opinion that the statement of grant income and expenditure does not give a true and fair view of the eligible expenditure for the period, the independent audit report should be qualified and the error quantified in the qualification section of the independent audit report.

The required independent audit report format follows.

## Auditor's report

Independent audit report in relation to [grant recipient name]'s statement of grant income and expenditure to the Commonwealth, represented by the Department of Industry, Innovation and Science (the department).

We have audited:

- a. the accompanying statement of grant income and expenditure of [grant recipient name] for the period [dd/mm/yyyy] to [dd/mm/yyyy], a summary of significant accounting policies and other explanatory information, and management's attestation statement thereon (together "the financial statement"). The financial statement has been prepared by management using the cash basis of accounting described in note 3.2 to the financial statement; and
- b. [grant recipient name]'s compliance with the terms of the grant agreement between [grant recipient name] and the Commonwealth dated [date of agreement] for the period [dd/mm/yyyy] to [dd/mm/yyyy] (the grant agreement).

We have:

- a. reviewed [grant recipient name]'s statement of labour costs in support of its claim of eligible expenditure; and
- b. performed limited assurance procedures on [grant recipient name]'s statement of employee numbers under the grant agreement].

### *Management's responsibility*

Management is responsible for:

- a. the preparation and fair presentation of the financial statement in accordance with the basis of accounting described in note 3.2, this includes determining that the cash basis of accounting is an acceptable basis for the preparation of the financial statement in accordance with the grant agreement;
- b. compliance with the terms of the grant agreement;
- c. the preparation of the statement of employee numbers and labour costs in support of eligible expenditure; and
- d. such internal control as management determines is necessary to:
  - i enable the preparation of the financial statement and the statement of [employee numbers and ]labour costs that are free from material misstatement, whether due to fraud or error; and
  - ii enable compliance with the terms of the grant agreement.

### *Auditor's responsibility*

Our responsibilities are:

- a. To express an opinion, based on our audit, on:
  - i the financial statement; and
  - ii [Grant recipient name]'s compliance, in all material respects, with the terms of the grant agreement; and

- b. To conclude based on:
  - i our review procedures, on the statement of labour costs; and
  - ii our limited assurance procedures on the statement of employee numbers.

We conducted our audit of the financial statement in accordance with Australian Auditing Standards; our audit of compliance with the grant agreement in accordance with ASAE 3100, our review of the statement of labour costs in accordance with ASRE 2405; and our limited assurance procedures on employee numbers in accordance with ASAE 3000. The applicable Standards require that we comply with relevant ethical requirements and plan and perform our work to:

- a. obtain reasonable assurance about whether the financial statement is free from material misstatement and that [grant recipient name] has complied, in all material respects, with the terms of the grant agreement; and
- b. obtain limited assurance as to whether anything has come to our attention that causes us to believe that the statements of employee numbers and labour costs are materially misstated.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statement and about the grant recipient's compliance with the grant agreement. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statement, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the grant recipient's preparation and fair presentation of the financial statement, and to the grant recipient's compliance with the grant agreement, in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the grant recipient's internal control. An audit also includes evaluating the appropriateness of accounting policies used by management, as well as evaluating the overall presentation of the financial statement.

A review consists of making enquiries and applying analytical and other review procedures. A review is substantially less in scope than an audit conducted in accordance with Auditing Standards and consequently does not enable us to obtain assurance that we would become aware of all significant matters that might be identified in an audit. Accordingly, we do not express an audit opinion on the statement of labour costs.

A limited assurance engagement undertaken in respect of the statement of employee numbers, in accordance with ASAE 3000 involves [level of detail about procedures to be determined by the auditor]. The procedures performed in a limited assurance engagement vary in nature and timing from, and are less in extent than for, a reasonable assurance engagement; and consequently, the level of assurance obtained in a limited assurance engagement is substantially lower than the assurance that would have been obtained had a reasonable assurance engagement been performed.

We believe that the evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion, review and limited assurance conclusions.

### *Opinion*

In our opinion:

- a. the financial statement presents fairly, in all material respects, the grant income and expenditure of [grant recipient name] for the period [dd/mm/yyyy] to [dd/mm/yyyy] in

accordance with the cash basis of accounting described in note 3.2 and the terms of the grant agreement, dated [date of agreement], with the Commonwealth; and

- b. [Grant recipient name] has complied, in all material respects, with the requirements of the grant agreement between the organisation and the Commonwealth dated [date of agreement], for the period [dd/mm/yyyy] to [dd/mm/yyyy].

#### *Basis of Accounting and Restriction on Distribution*

Without modifying our opinion, we draw attention to note 3.2 to the financial statement, which describes the basis of accounting. The financial statement is prepared to provide information to the department in accordance with the grant agreement, dated [date of agreement]. As a result, the financial statement may not be suitable for another purpose.

#### *Use of Report*

This report has been prepared for [Grant recipient name] and the department in accordance with the requirements of the grant agreement between [grant recipient name] and the Commonwealth, dated [date of agreement]. We disclaim any assumption of responsibility for any reliance on this report to any persons or users other than [grant recipient name] and the department, or for any purpose other than that for which it was prepared.

#### *Conclusions*

Based on:

- a. Our review, which is not an audit, nothing has come to our attention that causes us to believe that the statement of labour costs in the period [dd/mm/yyyy] to [dd/mm/yyyy] is not, in all material respects, fairly presented in accordance with the grant agreement dated [date of agreement] with the Commonwealth; and
- b. The procedures we have performed and the evidence we have obtained, nothing has come to our attention that causes us to believe that the statement of employee numbers as at [dd/mm/yyyy] is not prepared, in all material respects, in accordance with the grant agreement dated [date of agreement] with the Commonwealth].

Auditor's signature .....

Name [enter name]

Auditor's employer [enter employer name]

Employer's address [enter address]

Qualifications [enter qualification]

Position [enter position]

Date [dd/mm/yyyy]

## Attachment C - Certification of certain matters by the auditor

The department also requires a certification of certain matters by the auditor in addition to the independent audit report. This should be submitted with the statement of grant income and expenditure and independent audit report.

The auditor who signs this certification must also initial and date a copy of the grant recipient's statement of eligible expenditure. The department will not accept an independent audit report that lacks this attachment.

The required format of certification is on the following page.



[print on auditor letterhead]

[addressee]

Department of Industry, Innovation and Science  
GPO Box 2013  
Canberra ACT 2601

I understand that the Commonwealth, represented by the Department Industry, Innovation and Science and [grant recipient name] have entered into a grant agreement for the provision of financial assistance under the [program name] to the grant recipient for the project. A condition of funding under the grant agreement is that the grant recipient provides a statement of grant income and expenditure certifying that expenditure on approved project items has been incurred within the relevant audit period and paid in accordance with the program guidelines, and is supportable by appropriate documentation.

In fulfilment of the condition, I hereby certify that:

- a. I am a member of Chartered Accountants Australia and New Zealand/ CPA Australia/ the Institute of Public Accountants (as a Public Practice Certified Member).
- b. I have prepared the independent audit report on [grant recipient name]'s, statement of grant income and expenditure in accordance with the details of the grant agreement between the grant recipient and the Commonwealth, project no [project no] dated [dd/mm/yyyy].
- c. I have reviewed the grant agreement between the grant recipient and the Commonwealth, project no [project no] dated [dd/mm/yyyy], and related program guidelines and understand the requirements pertaining to financial reporting and eligible expenditure contained therein.
- d. I have signed the attached copy of [grant recipient name]'s statement of eligible expenditure that I used to prepare the independent audit report.
- e. I have complied with the professional independence requirements of Chartered Accountants Australia and New Zealand/ CPA Australia/the Institute of Public Accountants. I specifically certify that I:
  - i am not, and have not been, a director, office holder, or employee of [grant recipient name] or related body corporate of [grant recipient name]
  - ii have not been previously engaged by [grant recipient name] for the purpose of preparing their [program name] application or any report required under the grant agreement
  - iii have no financial interest in [grant recipient name].

Signature .....

Name [enter name]

Qualifications [enter qualification]

Position [enter position]

Date [dd/mm/yyyy]



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>

<department address 1>  
<department address 2>  
<department postal address 1>  
<department postal address 2>  
p: <state office phone number>  
e<program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> <last name>

## Incubator Support Initiative - Grant Agreement for signature

Attached is the Commonwealth grant agreement for your recently approved grant under the <program name>.

You should read the grant agreement carefully, print, sign, scan and email back to me.

When we receive your signed grant agreement, we will execute the agreement. 'Execute' means both you and the Commonwealth Government have signed the grant agreement. We will then send you a copy for your records.

The grant will not become binding until we execute the agreement .

We cannot make any grant payments until the agreement has been executed.

We may withdraw the offer if the grant agreement is not executed by <date>.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## **Incubator Support - Executed grant agreement**

Attached for your records is an executed copy of the grant agreement for your recently approved grant.

The grant agreement, together with the program guidelines, explain how we manage the grant agreement and set out your obligations.

In particular, you should note the due dates for any reports we require over the life of the agreement. If you are unable to provide a report on time you must tell us the reason before the due date.

We will make grant payments to you as outlined in the agreement. Where we require reports, we will only make grant payments after we receive a satisfactory report and confirm you have met the necessary obligations in the grant agreement.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Decline of offer

Thank you for informing us that <organisation name> has decided to decline the offer of grant funding awarded under the Incubator Support initiative.

We have updated our records.

If we can help in any other way please visit [business.gov.au](http://business.gov.au) or contact me on <phone number>.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>

For Official Use Only

# Incubator Support Initiative – Expert in Residence – grant agreement finalisation form

|                           |                             |
|---------------------------|-----------------------------|
| Project number            | [Project number]            |
| Organisation              | [Organisation name]         |
| Project title             | [Project title]             |
| Date application accepted | [Date application accepted] |
| Agreed project start date | [Agreed project start date] |
| Agreed project end date   | [Agreed project end date]   |

## Preliminary

|                                                                                                                                                                                                                                                                                                                  | Yes                      | No                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <p>1. Has the grant agreement been generated from SGMS?</p> <p>Note: It is expected that all grant agreements will be generated by SGMS and not created manually. If there is an issue with the SGMS generated grant agreement this should be escalated to the AusIndustry Systems team as soon as possible.</p> | <input type="checkbox"/> | <input type="checkbox"/> |

## To be addressed before the grant agreement can be issued

If you mark “Yes” to any questions below, stop the agreement finalisation process and go through the appropriate approval process. Note this is very important as any variations are seen as a breach of PGPA regulations.

|                                                                                                                                                                                                                                                    | Yes                      | No                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 2. Did the offer of funding letter contain any conditions to be met before the grant agreement can be executed?                                                                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the evidence providing authorised officer or programme delegate approval that the conditions have been met</li> </ul>                                                          |                          |                          |
| <p>3. Were any amendments required to the grant agreement?</p> <p>Note: Typically we do not negotiate any terms of the grant agreement. Any request to amend terms of the grant agreement should be referred to the programme management team.</p> | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the evidence providing authorised officer or programme delegate approval of changes</li> </ul>                                                                                 |                          |                          |
| 4. Does the financial year spilt in the grant agreement differ from that approved by the programme delegate?                                                                                                                                       | <input type="checkbox"/> | <input type="checkbox"/> |

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|                                                                                                                                                                      | Yes                      | No                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the approved Purchase Order Amendment (POA).</li> </ul>                                          |                          |                          |
| 5. Has the initial agreement due date in the letter of offer passed?                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| <ul style="list-style-type: none"> <li>If “Yes” provide the link to the Authorised Officer or Programme Delegate approval to vary the agreement due date.</li> </ul> |                          |                          |
| 6. Insert Creditor Code                                                                                                                                              |                          |                          |

## CSM Comments

Add comments if there are any changes to what was approved.

Note: Changes may only be approved where they do not fundamentally change the project outcome and are in accordance with the applicable policies and guidelines.

<Enter comments>

## CSM recommendation

CSM Name      <CSM name>

I submit this grant agreement as reflecting what was approved and ready to be issued.

Signed ..... Date.....

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## To be checked by authorised officer before issuing grant agreement

All details in the grant agreement should be checked by the authorised officer responsible for issuing the grant agreement. Those that are straightforward (eg check the organisation name is correct) are not specifically mentioned here, but still need to be checked. Those that relate to programme guidelines are specifically checked below.

|                                                                                                                                                                                                                                                 | Yes                      | No                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 7. Is the agreed project start date consistent with the rules of the programme as outlined in the programme guidelines?<br><br>Note: The guidelines state the earliest project start date can only be the date the grant agreement is executed. | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Is the agreed project end date within 12 months of the project start date?                                                                                                                                                                   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Is the project outcome entered in the agreement consistent with the expected project outcomes that informed the decision making process to award funding?                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |

## Authorised officer's decision

Authorised officer name <Manager name>

I confirm that all aspects of the grant agreement are in line with what was approved and authorise the grant agreement to be issued.

Signed ..... Date.....





Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Report Overdue

Your <insert report name> under the Incubator Support initiative grant agreement is overdue.

Your grant agreement outlines your reporting obligations and you are in breach of the agreement for failing to provide this report.

You must provide the outstanding report within <number of days> from the date of this letter otherwise we may choose to terminate the grant agreement.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <email address>  
w: [www.business.gov.au](http://www.business.gov.au)  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Progress payment

Thank you for submitting your progress report for the project period of <report start date> to <report end date>.

We have assessed the report and have received approval from the Program Delegate to make a payment of <insert payment amount>. We will deposit this amount in your nominated bank account shortly. These funds are for use by you in accordance with the terms of the grant agreement.

Note the due dates for future reports we require over the remaining life of the grant agreement. Your agreement details all your reporting obligations and we will send a report due reminder before the next report due date.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



# Accounts Payable – Supplier Details

| industry.gov.au |

Sensitive

Authority of Payment Details, Payment by Direct Credit into Nominated Bank Account

This form must be completed by the supplier or an individual requiring payment

## General Details: (details are mandatory)

|                                                               |  |                                                            |  |
|---------------------------------------------------------------|--|------------------------------------------------------------|--|
| Trading Name                                                  |  |                                                            |  |
| Legal Entity Name                                             |  |                                                            |  |
| ABN                                                           |  |                                                            |  |
| Individual First Name<br><i>(if payment to an individual)</i> |  | Individual Surname<br><i>(if payment to an individual)</i> |  |

## Contact and Postal Address: (details are mandatory)

|                                               |  |                 |  |
|-----------------------------------------------|--|-----------------|--|
| Contact First Name                            |  | Contact Surname |  |
| Address Line 1                                |  |                 |  |
| Address Line 2                                |  |                 |  |
| Address Line 3                                |  |                 |  |
| City                                          |  | State           |  |
| Post Code                                     |  |                 |  |
| Phone Number                                  |  | Fax Number      |  |
| Email Address<br><i>For remittance advice</i> |  |                 |  |

## Additional Details: (details are mandatory)

|                                                                                            |                        |                                                                                                                                   |                        |
|--------------------------------------------------------------------------------------------|------------------------|-----------------------------------------------------------------------------------------------------------------------------------|------------------------|
| Is this supplier a Small to Medium Business?<br><i>(less than 200 full time employees)</i> | Click here for options | Is this supplier a Small to Medium Business with at least 50% Indigenous ownership?<br><i>(less than 200 full time employees)</i> | Click here for options |
| Is this supplier a Commonwealth Department or Agency                                       | Click here for options |                                                                                                                                   |                        |

## Grant / Programme / Procurement Details: (if required, to be completed by Dept. Grant / Programme Officer)

|                                                           |                        |                                                                                                                                                                                                                      |  |
|-----------------------------------------------------------|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Does this supplier relate to a unique Grant or Programme? | Click here for options | <b>** If 'Yes' - this supplier will always retain the provided details to assure its link to a specific Grant or Programme.<br/>** If "No" - this supplier may have contact details updated for future payments.</b> |  |
| Grant / Programme Reference<br><i>(if known)</i>          |                        |                                                                                                                                                                                                                      |  |

## Bank Details: (details are mandatory)

|                                 |  |                |  |
|---------------------------------|--|----------------|--|
| BSB <i>(must be six digits)</i> |  | Account Number |  |
| Account Name                    |  |                |  |

## Confirmation/Authorisation

|                                                                     |                  |
|---------------------------------------------------------------------|------------------|
| Signature of Company Representative or individual requiring payment | _____ Date _____ |
|---------------------------------------------------------------------|------------------|

**\*\* A Signature is not required if this form is emailed as an attachment, and the email address displays the company/individual's full name (eg. [John@companyname.com](mailto:John@companyname.com))**

**Submit completed form to the Department of Industry Innovation and Science - Corporate Systems Helpdesk:**  
**S 22** [@industry.gov.au](mailto:@industry.gov.au)

**OR to your Department of Industry Innovation and Science Contact**

All details are strictly confidential and will only be used for the purpose stated on this form or as required by law

S 47E(d)

S 47E(d)

S 47E(d)

S 47E(d)



S 47E(d)

S 47E(d)



S 47E(d)

S 47E(d)

S 47E(d)

S 47E(d)



S 47E(d)



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <email address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## **Incubator Support – <Project Title>.**

Thank you for your application for an *Incubator Support - New and Existing* grant for the above project.

I am writing to advise that the offer of funding for the *Incubator Support* grant has been withdrawn.

### **REASON**

You may wish to submit a new application at a future round. For further information, refer to the *Incubator Support Program Guidelines* or contact your Regional Incubator Facilitator, <title> <first name> <last name>, who will work with you to submit a regional incubator project should you wish to apply. <first name> can be contacted on <email address>.

Please contact me on <CSM or EL 2 Telephone> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <email address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - End of project

Thank you for submitting your end of project report.

Your grant agreement details all your obligations and there are a number which will continue to apply to you.

From the project end date of <insert date> you must:

- keep adequate records of project expenditure for a period of five years
- <insert obligations and period of time it is in effect>

We may request post project reports to track project outcomes that take effect from the completion of the project. When we require post project reports we will contact you with the details of the reporting requirements.

On behalf of Incubator Support, I would like to commend you on your efforts in undertaking this project. If we can provide any further assistance, please do not hesitate to contact us.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>

For Official Use Only

## Incubator Support Accountant declaration

|                                          |                                                                                                                                                                                                                                                                                             |
|------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Role of person making declaration</b> | Accountant or Chief Financial Officer (CFO)                                                                                                                                                                                                                                                 |
| <b>Name</b>                              |                                                                                                                                                                                                                                                                                             |
| <b>Contact details</b>                   |                                                                                                                                                                                                                                                                                             |
| <b>Qualification</b>                     | <input type="checkbox"/> Chartered Accountant<br><input type="checkbox"/> Certified Practicing Accountant<br><input type="checkbox"/> CPA Australia<br><input type="checkbox"/> Chartered Accountants Australia and New Zealand<br><input type="checkbox"/> Institute of Public Accountants |
| <b>Membership number</b>                 |                                                                                                                                                                                                                                                                                             |
| <b>Applicant's name</b>                  |                                                                                                                                                                                                                                                                                             |
| <b>Applicant's ABN</b>                   |                                                                                                                                                                                                                                                                                             |

I declare that:

- ☐ On the basis of the evidence [applicant name] has supplied to me, I consider that [applicant name] is able to fund its share of the cost of the proposed project from the following source of funding - [insert source of funding].
- ☐ This opinion is based on the applicants share being [insert amount] out of total project expenditure of [insert amount].

The applicant is part of a consolidated group for tax purposes.

Yes ☐No ☐

Signature .....

Signed on this            day of            20

For Official Use Only

## Incubator Support Accountant declaration

|                                          |                                                                                                                                                                                                                                                                                             |
|------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Role of person making declaration</b> | Accountant or Chief Financial Officer (CFO)                                                                                                                                                                                                                                                 |
| <b>Name</b>                              |                                                                                                                                                                                                                                                                                             |
| <b>Contact details</b>                   |                                                                                                                                                                                                                                                                                             |
| <b>Qualification</b>                     | <input type="checkbox"/> Chartered Accountant<br><input type="checkbox"/> Certified Practicing Accountant<br><input type="checkbox"/> CPA Australia<br><input type="checkbox"/> Chartered Accountants Australia and New Zealand<br><input type="checkbox"/> Institute of Public Accountants |
| <b>Membership number</b>                 |                                                                                                                                                                                                                                                                                             |
| <b>Applicant's name</b>                  |                                                                                                                                                                                                                                                                                             |
| <b>Applicant's ABN</b>                   |                                                                                                                                                                                                                                                                                             |

I declare that:

- ☐ On the basis of the evidence [applicant name] has supplied to me, I consider that [applicant name] is able to fund its share of the cost of the proposed project from the following source of funding - [insert source of funding].
- ☐ This opinion is based on the applicants share being [insert amount] out of total project expenditure of [insert amount].

The applicant is part of a consolidated group for tax purposes.

Yes ☐No ☐

Signature .....

Signed on this            day of            20



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w:business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name >

## Incubator Support - Ineligible application

Thank you for applying for a grant under the Incubator Support initiative.

Unfortunately your application is not eligible as it does not comply with the program guidelines.  
<We therefore cannot assess your application against the merit criteria>.

In particular, your application did not meet the following requirements:

- <list the eligibility criteria that are not satisfied>

You are welcome to submit a new application which complies with the eligibility criteria.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>

# Incubator Support Initiative

## Supplementary Assessment Report - *New & Existing*

|                                                                                              |                                                   |                                       |                                                           |
|----------------------------------------------------------------------------------------------|---------------------------------------------------|---------------------------------------|-----------------------------------------------------------|
| Application/Project Number                                                                   |                                                   |                                       |                                                           |
| Organisation Name                                                                            |                                                   |                                       |                                                           |
| Type of Organisation (ie. Incorporated entity, incorporated trustee, NFP, PFRO, local Govt.) |                                                   | New or Existing Incubator?            |                                                           |
| Project Title                                                                                |                                                   |                                       |                                                           |
| Project Start Date                                                                           |                                                   | Project End Date                      |                                                           |
| A: Total Expenditure                                                                         | [All eligible and ineligible costs]               | B: Total Eligible Project Expenditure | [All costs deemed to be eligible, incl. in-kind]          |
| C: Identified ineligible project expenditure                                                 | [All ineligible costs, incl. in-kind ie. 'A'-'B'] | D: Grant Amount                       | [Dollar value up to 50% of 'B', OR up to a max of \$500k] |
| Funding Ratio (%)                                                                            |                                                   |                                       |                                                           |
| CSM Name and Phone Number                                                                    |                                                   |                                       |                                                           |

### Applicant Details

- Summarise the applicant's details using the template below

<Applicant name> is a <insert description of business> that was founded in <insert year>. The applicant <is an existing incubator which targets <insert details> that is planning on expanding its services and capacity>. **OR** <is planning to open a new incubator focused on <insert details>.  
**[delete that which is not relevant]**

This application is a collaborative project with <insert joint applicant details and description of business>. **[delete if not relevant]**

The applicant has received support from AusIndustry under <insert programme and funding details>. The applicant currently has <no> or <insert number> other <applications> and/or <grants> under the Incubator Support Initiative for <insert funding details>. **OR** The applicant received funding under the Incubator Support Initiative for <insert funding amount> and the project was successfully completed <insert date>. **[delete that which is not relevant]**

### Project Description

Summarise the planned project activities and intended outcomes outlined in the application. For example:

- describe the planned expansion of the scale of incubator operations and/or the development of a new incubator that will focus on innovative Australian start-ups with an international market focus;
- outline the project activities, timeframe, value and intended outcomes;
- has sufficient information been provided? Is the project in line with ISI objectives?

<Applicant name>'s project involves <summarise project activities and outcomes>. The project will run from <insert start date> to <insert end date>. The applicant has provided <sufficient/insufficient> information regarding the project.

The described project appears <to be/to not be> in line with the Incubator Support Initiative objectives.

## Summary of Supplementary Information

Summarise the supplementary information provided by the applicant.

As per the Committee deferral decision sheet, the applicant was asked to provide supplementary information:

**1. <Insert Committee deferral question>**

<Applicant name> has provided <insert details>.

**2. <Insert Committee deferral question>**

<Applicant name> has provided <insert details>. **[repeat as required]**

## CSM Comments

Comment briefly on the supplementary information provided by the applicant, taking into account the merit criteria for the programme. Describe whether the supplementary information provided has addressed the questions raised by the Committee.

The supplementary information provided by the applicant <insert commentary on first deferral question>. The applicant has demonstrated that <insert detail>.

The applicant has also provided <insert detail>.

Based on the information provided by the applicant the CSM considers that the Committee's concerns have been sufficiently addressed and supports the application for funding.

**OR**

Based on the information provided by the applicant the CSM considers that the Committee's concerns have not been sufficiently addressed and does not support the application for funding.



## Recommendation (CSM to complete)

### Strengths and weaknesses of application

Provide an overview of the strengths and weaknesses of claims in the supplementary information against the merit criteria relative to the project size, complexity and grant amount requested.

Assess whether the applicant has:

- provided a complete application that adequately outlines how their project will aim to support innovative, Australian start-ups to achieve success in international markets;
- adequately addressed each merit criteria and outlined relevant eligible project activities, budget and outcomes;
- substantiated their claims in the project application with relevant information and quality supporting evidence;
- sufficiently addressed the questions raised by the Committee through the provision of supplementary information.

**Delete this box once you have completed your assessment.**

Strengths:

- <insert strengths>
- <insert strengths>
- <insert strengths>
- <insert strengths>

Weaknesses:

- <insert weaknesses>
- <insert weaknesses>
- <insert weaknesses>
- <insert weaknesses>

### Recommendation Summary

Provide a brief statement of rationale for the recommendation.

If recommending **Supported with Conditions**, formally list and number all conditions ie

1. provision of evidence of international linkages in the form of letters from international business partners, memoranda of understanding etc
2. provision of evidence of .....

**Delete this box once you have completed your assessment.**

The CSM supports this application, as <insert reasons>.

**OR**

The CSM supports this application with conditions, as <insert reasons for support>. The following conditions are recommended:

1. <Insert suggested condition to a maximum of three>

**OR**

The CSM does not support this application, for the following reasons:

- <insert reasons>.

**Supported** ☐**Supported with Conditions** ☐**Not Supported** ☐

### Assessor Details – CSM and Manager to Complete

CSM Name &lt;CSM name&gt;

Phone no &lt;CSM phone number&gt;

Email &lt;CSM email&gt;

As CSM, I have completed this assessment.

Signed..... Date.....

Manager Name &lt;Manager name&gt;

Phone no &lt;Manager phone number&gt;

Email &lt;Manager email&gt;

I endorse the assessment and confirm that the financial year splits outlined above match the budget plan in SGMS.

Signed..... Date.....

NOTE: Ensure the application has been allocated to the next EP Committee meeting for a decision in SGMS by the deck due date.

Approval of application to go to:

1. EP Committee

☐

Next Scheduled Meeting: \_\_\_\_\_

2. Minister

☐

Next Scheduled Meeting: \_\_\_\_\_

3. DOI Statement prepared?

☐



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: < state office phone number>  
e: <email address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - End of project and final payment

Thank you for submitting your end of project report for the final project period of <report start date> to <report end date>.

We have assessed the report and have received approval from the Program Delegate to make a final <GST inclusive> payment of <insert payment amount>. We will deposit this final amount in your nominated bank account shortly.

<Your grant agreement details all your obligations and there are a number which will continue to apply to you.

From the project end date of <insert date> you must:

- keep adequate records of project expenditure for a period of seven years
- <insert obligations and period of time it is in effect>

We may request post project reports to track project outcomes that take effect from the completion of the project. When we require post project reports we will contact you with the details of the reporting requirements.>

On behalf of Incubator Support, I would like to commend you on your efforts in undertaking this project. If we can provide any further assistance, please do not hesitate to contact us.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>

S 47C, S 47E(d)













Australian Government  
Department of Industry,  
Innovation and Science

# Business

AusIndustry

<Insert State office address>

<Insert State office suburb,  
state, postcode>

GPO Box 2013

Canberra ACT 2601 Australia

Web: [www.industry.gov.au](http://www.industry.gov.au)

ABN: 74 599 608 295

<Insert contact title and name>

<Insert contact position>

<Insert company name>

<Insert address>

<Insert suburb, state, postcode>

Dear <Insert contact name>

**Incubator Support Initiative – <select *New and Existing Incubators* or *Expert in Residence*> –  
Decision regarding request to vary project**

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

**<Instructions for CSMs – Select the appropriate paragraph based on the decision and delete the other options>**

## ***Variation Approved***

I am pleased to advise that after due consideration, the Programme Delegate has approved the terms of your request to vary the above project as requested on <date request made>.

For further information please refer to the Attachment A of this letter which includes the revised Grant Details for <ISIXXXXX> (including: Parties to this Agreement; Scope of this Agreement; Grant Details sections A to G; and Schedule 1 Commonwealth General Grant Conditions).

Please indicate <Company Name>'s agreement to the proposed amendment by arranging for two copies of this letter to be executed. Please keep one copy for your records and return one copy to S 22 [@industry.gov.au](mailto:@industry.gov.au). Your prompt attention to this matter would be appreciated.

## ***Variation Partially Approved***

I am pleased to advise that after due consideration, the Programme Delegate has partially approved the terms of your request to vary the above project as requested on <date request made>.

Specifically, the Programme Delegate has approved your request to vary <insert details of approved component>, however <insert component not approved> was not approved as <insert reason for component not approve>.

For further information please refer to the Attachment A of this letter which includes the revised Grant Details for <ISIXXXXX> (including: Parties to this Agreement; Scope of this Agreement; Grant Details sections A to G; and Schedule 1 Commonwealth General Grant Conditions).

Please indicate <Company Name>'s agreement to the proposed amendment by arranging for two copies of this letter to be executed. Please keep one copy for your records and return one copy to S 22 @industry.gov.au. Your prompt attention to this matter would be appreciated.

### **Variation Not Approved**

I regret to inform you that the Program Delegate has not approved your request to vary the terms of the above project requested on <request received date>.

After due consideration of your request for <variation type> was not approved because <reasons for not approving variations>.

Accordingly, you are required to continue to comply with all funding, timing and other requirements as set out in your current *Incubator Support Grant Agreement*.

If you have any further queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>

<insert CSM title>

<insert CSM state office> - AusIndustry

Department of Industry, Innovation and Science

<insert date>

Accepted / Not Accepted

Use this signature block if Grantee is a company.

|                                         |                                                   |
|-----------------------------------------|---------------------------------------------------|
| Name of Company                         | [insert name of company and any ABN, ACN or ARBN] |
| Director name (print)                   |                                                   |
| Signature and date                      |                                                   |
| Director/Company Secretary name (print) |                                                   |
| Signature and date                      |                                                   |

[or]

Use this signature block if Grantee is an Incorporated Association.

|                                |                                                                                    |
|--------------------------------|------------------------------------------------------------------------------------|
| Full legal name of the Grantee | [insert name of incorporated association and any ABN or other registration number] |
| Public officer's name (print)  |                                                                                    |
| Signature and date             |                                                                                    |

|                                                |  |
|------------------------------------------------|--|
| <b>Committee Member/Secretary name (print)</b> |  |
| <b>Signature and date</b>                      |  |

[or]

|                                                                                                    |
|----------------------------------------------------------------------------------------------------|
| <b>Use this signature block if Grantee is a Local Governing Body or Unincorporated Association</b> |
|----------------------------------------------------------------------------------------------------|

|                             |  |
|-----------------------------|--|
| <b>Name (print)</b>         |  |
| <b>Position (print)</b>     |  |
| <b>Signature and date</b>   |  |
| <b>Witness name (print)</b> |  |
| <b>Signature and date</b>   |  |

-----  
**ATTACHMENT A**

*[CSM Notes: You must attach the varied Grant Agreement which reflects all changes agreed to by the Programme Delegate. When attaching the Grant Agreement please remove the following pages:*

- Commonwealth Grant Agreement cover page (page 1);
- Contents page (page 2);
- Signature pages (pages 13 & 14).]

S 47E(d)

S 47E(d)





# Accounts Payable – Early Stage Supplier Details Form (Grants Only)

## Corporate Systems

### Commercial - In - Confidence

**This form is to be used for early stage supplier requests only**

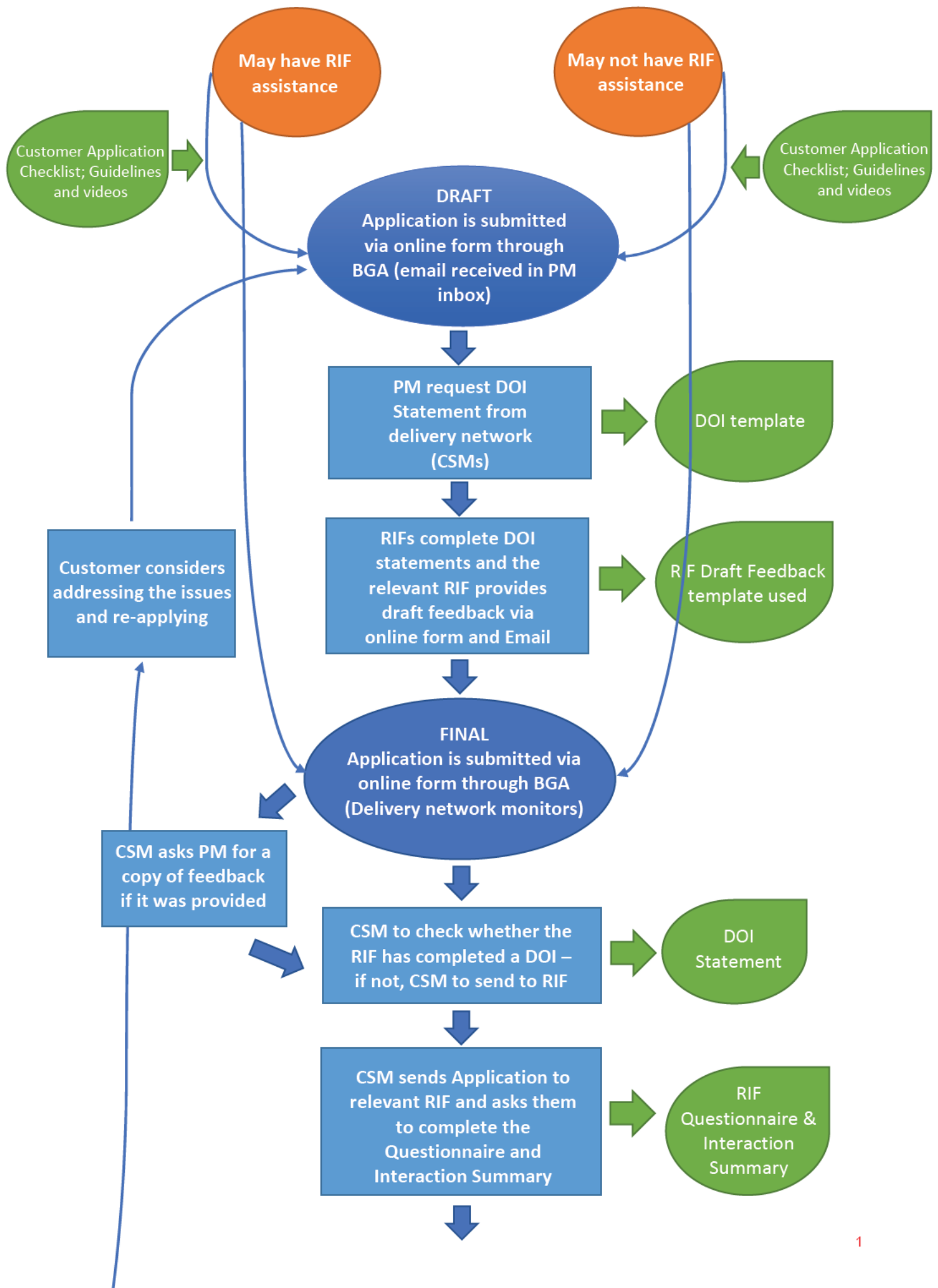
Payment to the creditor will not be made until an authority for payment has been received and processed by the Corporate Systems Helpdesk

All fields are mandatory. For assistance, **S 22**

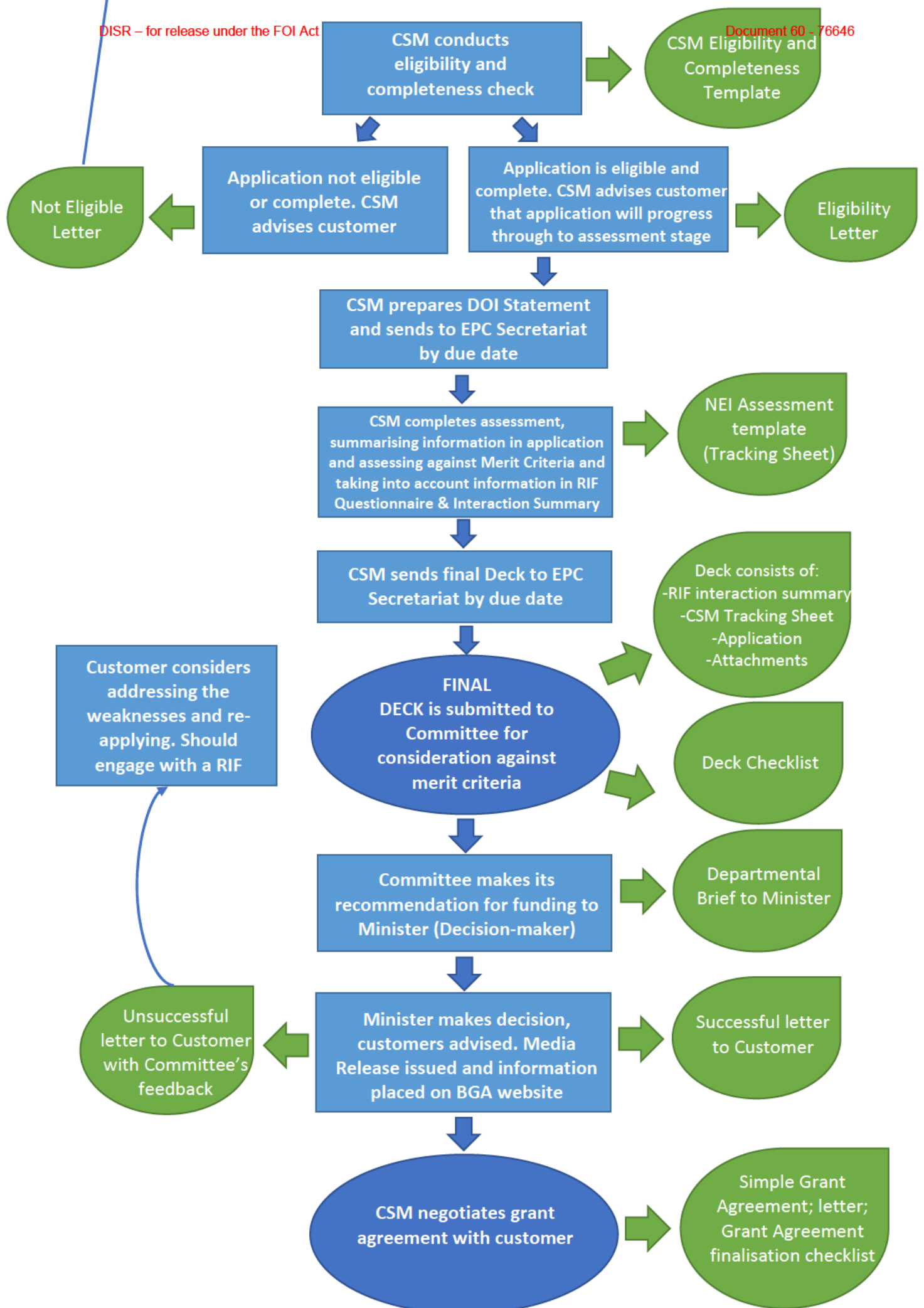
[@industry.gov.au](mailto:@industry.gov.au) Ph. **S 22**

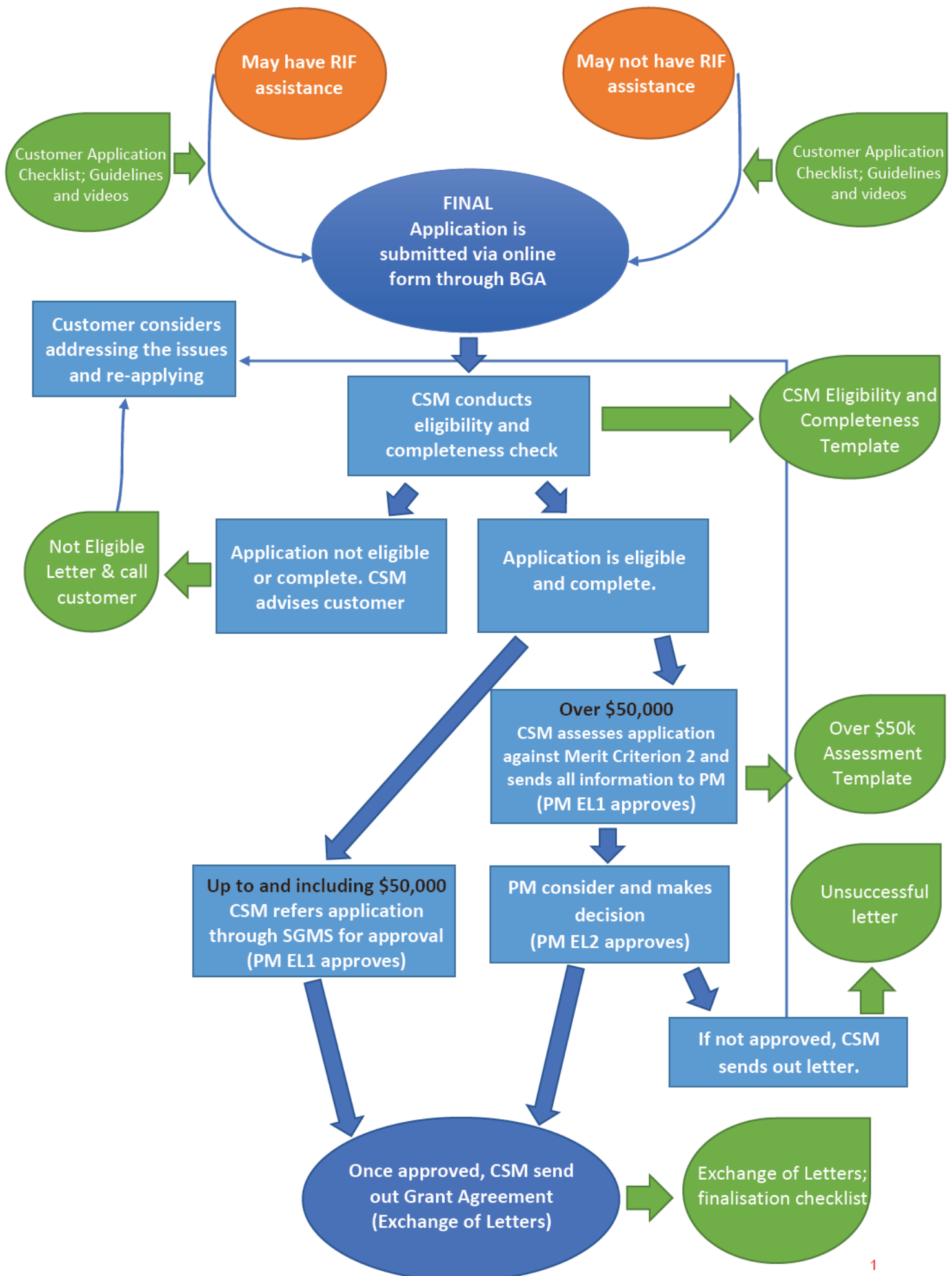
| General Details:                                                                                                                                                                                                                                                                                                                             |                        |                                                                                                                                                                                                            |                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| Organisation                                                                                                                                                                                                                                                                                                                                 |                        |                                                                                                                                                                                                            |                        |
| Individual First Name<br><i>(if payment to an individual)</i>                                                                                                                                                                                                                                                                                |                        | Individual Surname<br><i>(if payment to an individual)</i>                                                                                                                                                 |                        |
| ABN                                                                                                                                                                                                                                                                                                                                          |                        |                                                                                                                                                                                                            |                        |
| Contact and Postal Address:                                                                                                                                                                                                                                                                                                                  |                        |                                                                                                                                                                                                            |                        |
| Contact First Name                                                                                                                                                                                                                                                                                                                           |                        | Contact Surname                                                                                                                                                                                            |                        |
| Address Line 1                                                                                                                                                                                                                                                                                                                               |                        |                                                                                                                                                                                                            |                        |
| Address Line 2                                                                                                                                                                                                                                                                                                                               |                        |                                                                                                                                                                                                            |                        |
| Address Line 3                                                                                                                                                                                                                                                                                                                               |                        |                                                                                                                                                                                                            |                        |
| City                                                                                                                                                                                                                                                                                                                                         |                        | State                                                                                                                                                                                                      | VIC                    |
| Post Code                                                                                                                                                                                                                                                                                                                                    |                        |                                                                                                                                                                                                            |                        |
| Phone Number                                                                                                                                                                                                                                                                                                                                 |                        | Fax Number                                                                                                                                                                                                 |                        |
| Email Address<br><i>For remittance advice</i>                                                                                                                                                                                                                                                                                                |                        |                                                                                                                                                                                                            |                        |
| Additional Details:                                                                                                                                                                                                                                                                                                                          |                        |                                                                                                                                                                                                            |                        |
| Is this supplier a Small Business?<br><i>(less than 20 full time employees)</i>                                                                                                                                                                                                                                                              | Click here for options | Is this supplier a Small to Medium Entity <i>(less than 200 full time employees)</i> with at least 50% Indigenous ownership?                                                                               | No                     |
| Is this supplier a Commonwealth Department or Agency                                                                                                                                                                                                                                                                                         | Click here for options |                                                                                                                                                                                                            |                        |
| Grant / Program / Procurement Details:                                                                                                                                                                                                                                                                                                       |                        |                                                                                                                                                                                                            |                        |
| Does this supplier relate to a unique Grant or Program?                                                                                                                                                                                                                                                                                      | Click here for options | ** If 'Yes' - this supplier will always retain the provided details to assure its link to a specific Grant or Program.<br>** If "No" - this supplier may have contact details updated for future payments. |                        |
| Grant / Program Reference<br><i>(if known)</i>                                                                                                                                                                                                                                                                                               |                        | Generate Contract Party?<br><i>(for use with contract payments?)</i>                                                                                                                                       | Click here for options |
| <p><b>Once this form is completed, please Email to the Corporate Systems Administration &amp; Development Team:</b><br/> <b>S 22</b> <a href="mailto:@industry.gov.au">@industry.gov.au</a> Ph. <b>S 22</b></p> <p>All details are strictly confidential and will only be used for the purpose stated on this form or as required by law</p> |                        |                                                                                                                                                                                                            |                        |

## NEW AND EXISTING INCUBATOR SUPPORT APPLICATION, ASSESSMENT AND APPROVAL PROCESS







**EXPERT-IN-RESIDENCE INCUBATOR SUPPORT APPLICATION, ASSESSMENT AND APPROVAL PROCESS**

# Incubator Support Checklist for deed of variation

**This page For Internal Use Only**

This Deed of Variation is for Incubator Support NEI grant agreements.

Square brackets indicate user input.

CSMs should delete instructional notes from the document prior to presentation to the Grantee for execution and confirm the page numbering.

CSMs should request a delivery receipt and read receipt when communicating electronically. A hard copy of this Deed should be sent by registered post with a delivery confirmation advice receipt.

| Location   | Instruction                                                               | Completed                |
|------------|---------------------------------------------------------------------------|--------------------------|
| Cover page | Insert programme name and project number                                  | <input type="checkbox"/> |
| Parties    | Insert programme name, project number and date                            | <input type="checkbox"/> |
| Signatures | Choose appropriate signature block and insert name and details of Grantee | <input type="checkbox"/> |
| Schedule 1 | Select appropriate option for detailing variation.                        | <input type="checkbox"/> |
|            | Delete notes in shaded boxes.                                             | <input type="checkbox"/> |

# Deed of Variation

## Incubator Support

[Project number]

### Parties

The parties to this Deed of Variation including any Schedules ("Deed") are the parties to the grant agreement with number [Project Number] on [insert date] under the Incubator Support initiative ("Grant Agreement").

### Definition

Capitalised words used in this Deed have the same meaning as provided under the Grant Agreement, unless otherwise provided in this Deed.

### Background

The Commonwealth and the Grantee have agreed to vary the terms of the Grant Agreement in accordance with this Deed.

### Operative clauses

1. On and with effect from the date the last party signs this Deed, the Grant Agreement is varied as set out in Schedule 1 to this Deed.
2. The Grant Agreement is otherwise affirmed by the parties.
3. This Deed is governed by the laws of the Australian Capital Territory.
4. Each party will pay their own costs associated with this Deed.

### Signatures

#### Executed as a deed

#### Commonwealth

Executed as a deed for and on behalf of the Commonwealth of Australia as represented by [insert name of Commonwealth Agency] by:

|                                |  |
|--------------------------------|--|
| <b>Name</b><br>(print)         |  |
| <b>Position</b><br>(print)     |  |
| <b>Signature and date</b>      |  |
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

[Select or insert the appropriate signature block depending on the nature of Grantee. Delete the signature blocks that are not used.]

## Grantee

Executed as a deed for and on behalf of [name of Grantee] by:

[Use this signature block if Grantee is a Company]

|                                                            |                                                   |
|------------------------------------------------------------|---------------------------------------------------|
| <b>Name of Company</b>                                     | [insert name of company and any ABN, ACN or ARBN] |
| <b>Director Name</b><br>(print)                            |                                                   |
| <b>Signature and date</b>                                  |                                                   |
| <b>Witness Name (first director)</b><br>(print)            |                                                   |
| <b>Signature and date</b>                                  |                                                   |
| <b>Director/ Company Secretary Name</b><br>(print)         |                                                   |
| <b>Signature and date</b>                                  |                                                   |
| <b>Witness Name (second director/secretary)</b><br>(print) |                                                   |
| <b>Signature and date</b>                                  |                                                   |

[OR]

[Use this signature block if Grantee is an Individual]

|                                       |                                          |
|---------------------------------------|------------------------------------------|
| <b>Full legal name of the Grantee</b> | [insert name of the Grantee and any ABN] |
| <b>Name</b><br>(print)                |                                          |
| <b>Signature and date</b>             |                                          |

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|                                |  |
|--------------------------------|--|
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

**[OR]**

[Use this signature block if Grantee is a Partnership - note that each partner should execute, add extra rows as required]

|                                       |                                          |
|---------------------------------------|------------------------------------------|
| <b>Full legal name of the Grantee</b> | [insert name of partnership and any ABN] |
| <b>Partner's Name</b><br>(print)      |                                          |
| <b>Signature and date</b>             |                                          |
| <b>Witness Name</b><br>(print)        |                                          |
| <b>Signature and date</b>             |                                          |

**[OR]**

[Use this signature block if Grantee is an Incorporated Association]

|                                                    |                                                                                    |
|----------------------------------------------------|------------------------------------------------------------------------------------|
| <b>Full legal name of the Grantee</b>              | [insert name of incorporated association and any ABN or other registration number] |
| <b>Public Officer's Name</b><br>(print)            |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |
| <b>Witness Name (public officer)</b><br>(print)    |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |
| <b>Committee Member/ Secretary Name</b><br>(print) |                                                                                    |

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|                                                             |  |
|-------------------------------------------------------------|--|
| <b>Signature and date</b>                                   |  |
| <b>Witness Name (committee member/secretary)</b><br>(print) |  |
| <b>Signature and date</b>                                   |  |

**[OR]**

[If Grantee is a trustee of a Trust, you should confirm the legal status of the trustee and use the appropriate execution clause. For example, if the trustee is a company, use the company execution clause. Make sure that you use the name of the trustee (NOT the Trust) as the 'name' of the Substitute Party - as the trustee is the legal entity entering into the Agreement. If requested by the Substitute Party, the words 'as trustee of the XXX Trust' could be included at the end of the name]

**Schedule 1 - Variation to Grant Agreement**

**Note:** While there are two options for completing this Schedule, it is anticipated that in the majority of cases Option 2 will be used. Please consult with Programme Management if you are unsure which option to use. Delete whichever option is not used and this instruction box.

**Option 1:** Use 'track changes' to show the variations in a copy of the Grant Agreement (as varied by any previous variation) and attach it to this deed. If you use Option 1, include the following text in this Schedule 1.

**1. The Grant Agreement is varied by:**

- a. inserting all clauses and words that are underlined; and
- b. deleting all clauses and words that are struck out or crossed through,

in the copy of the Grant Agreement attached to this Deed.

**Option 2:** Insert a detailed description of each of the changes to the Grant Agreement. For example:

**1. The Grant Details are varied**

Clause C is varied by deleting the clause and replacing it with the following:

[insert clause C]

**2. The Supplementary Terms are varied**

Clause G is varied by deleting the item G1 and inserting the words '[insert]'.

**3. The Supplementary Terms are varied**

The following new clause G13 is inserted after clause G12:

[insert clause G13]

When varying a Schedule, Attachment or Annexure to the Grant Agreement, refer to the number of the clause /item /paragraph /section and the number of the Schedule/Attachment/Annexure. For example:

**4. The Schedule 2 Reporting templates are varied**

Item 1 of Schedule 2 (Project progress) is varied by inserting the new table [insert name, e.g. project progress milestone table] as item 2 of Schedule 2 of the Grant Agreement:

[insert new report template]

[OR]

Clause 1, Item 2 of Schedule 1 is varied by deleting that paragraph and replacing it with the following:

[insert paragraph]





Australian Government  
Department of Industry,  
Innovation and Science

# Business

AusIndustry  
<Insert State office  
address>  
<Insert State office suburb,  
state, postcode>  
GPO Box 2013  
Canberra ACT 2601  
Australia  
Web: [www.industry.gov.au](http://www.industry.gov.au)  
ABN: 74 599 608 295

<Insert contact title and name>  
<Insert contact position>  
<Insert company name>  
<Insert address>  
<Insert suburb, state, postcode>

Dear <Insert contact name>

***Incubator Support Initiative – Acknowledgement of variation request***

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

I am writing to confirm that AusIndustry has received your company's request to vary <variation type> for the above project supported by the *Incubator Support Initiative*.

Your company's variation request has been referred to the Programme Delegate for consideration and you will be notified of the Programme Delegate's decision in due course.

If you have any further queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>  
<insert CSM title>  
<insert CSM state office> - AusIndustry  
Department of Industry, Innovation and Science

<Insert date>



Australian Government  
Department of Industry,  
Innovation and Science

# Business

AusIndustry  
<Insert State office  
address>  
<Insert State office suburb,  
state, postcode>  
GPO Box 2013  
Canberra ACT 2601  
Australia  
Web: [www.industry.gov.au](http://www.industry.gov.au)  
ABN: 74 599 608 295

<Insert contact title and name>  
<Insert contact position>  
<Insert company name>  
<Insert address>  
<Insert suburb, state, postcode>

Dear <Insert contact name>

***Incubator Support Initiative – Acknowledgement of withdrawal of request to vary project***

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

I am writing to confirm that AusIndustry has received your company's request to withdraw the request for a <variation type> in the above project supported by the *Incubator Support Initiative* received on <Variation request received date>.

Accordingly, no further consideration will be given to the variation request and you must continue to comply with all funding, timing and other requirements as set out in your current *Incubator Support Funding Agreement*.

If you have any further queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>  
<insert CSM title>  
<insert CSM state office> - AusIndustry  
Department of Industry, Innovation and Science

<Insert date>

For Official Use Only

# Incubator Support Checklist for Deed of Novation

## This page is for internal use only

This Deed of Novation is for programmes that use a Letter of Offer, or Letters of Exchange, or Low Risk Grant Agreement.

CSMs should ensure they have undertaken relevant company and bankruptcy searches before agreeing to any novation of rights or obligations under a Grant Agreement. If a Grantee company is in liquidation (or an individual in bankruptcy) you will need to get approval from a liquidator (or trustee in bankruptcy) to any novation – if this is the case you must consult Legal, Audit & Assurance branch about the novation.

CSMs should delete instructional notes from the document prior to presentation to the Grantee for execution and confirm the page numbering.

CSMs should request a delivery receipt and read receipt when communicating electronically. A hard copy of this Deed should be sent by registered post with a delivery confirmation advice receipt.

| Location        | Instruction                                                                                                                                                                                | Completed                |
|-----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Title           | Insert programme name and grant agreement number                                                                                                                                           | <input type="checkbox"/> |
| Parties         | Insert name of Commonwealth Department                                                                                                                                                     | <input type="checkbox"/> |
| Parties         | Insert project number and date, and programme name                                                                                                                                         | <input type="checkbox"/> |
| Parties         | Insert name and ABN/ACN of New Grantee                                                                                                                                                     | <input type="checkbox"/> |
| Parties         | If the New Grantee is an incorporated trustee, please identify as '[Trustee name, i.e. company name] [insert Trustee ACN] and as trustee of the [insert name of trust] [insert trust ABN]. | <input type="checkbox"/> |
| Signatures page | Insert name of authorised representative for Commonwealth                                                                                                                                  | <input type="checkbox"/> |
| Signatures page | Select appropriate execution clause. Insert the name of the Grantee (Retiring Party) in the selected clause.                                                                               | <input type="checkbox"/> |
| Signatures page | Select appropriate execution clause. Insert the name of the New Grantee in the selected signature block.                                                                                   | <input type="checkbox"/> |
|                 | Delete instructional notes                                                                                                                                                                 | <input type="checkbox"/> |

# Deed of Novation

## Incubator Support

[Insert project number]

### Details

---

#### Parties

The 'Parties' to this Deed of Novation, including any Schedules ("Deed") are:

1. the Commonwealth as represented by [insert name of Department or Commonwealth entity] ("Commonwealth");
2. the Grantee ("Retiring Party") under the grant agreement with number [Project Number] on [insert date] under the Incubator Support initiative ("Grant Agreement"); and
3. [insert name of new grantee recipient, ACN/ABN 00 000 000 000] ("New Grantee").

**Note:** If the New Grantee is an incorporated trustee, please identify as '[Trustee name, i.e. company name] [insert Trustee ACN] and as trustee of the [insert name of trust] [insert trust ABN]'.

#### Definition

Capitalised words used in this Deed have the same meaning as provided under the Grant Agreement, unless otherwise provided in this Deed.

#### Background

The Parties agree to novate the Retiring Party's obligations and rights under the Grant Agreement to the New Grantee with effect from the date the last Party signs this Deed ("Effective Date"), on the terms and conditions of this Deed.

#### Operative clauses

1. From the Effective Date the Retiring Party:
  - a. novates the Grant Agreement to the New Grantee and all references to the "Grantee" in the Grant Agreement are to be read as references to the New Grantee ("Novation"); and
  - b. releases the Commonwealth from all obligations under the Grant Agreement; and
  - c. continues to be bound by clauses 10, 11, 12, 13, 14, 16, 20 and 21 of the Grant Agreement.
2. The New Grantee and the Commonwealth consent to the Novation.
3. The New Grantee agrees that it will be bound by the Grant Agreement as if it were the Grantee for the Duration of the Grant Agreement under Clause C of the Grant Details. This includes (but is not limited to) the Indemnity under item 16 of the Commonwealth General Grant Conditions.
4. The Retiring Party indemnifies the New Grantee against any claim, action, damage, loss, liability, expense or payment ("Claim") incurred where the Claim arises from the Grant Agreement before the Effective Date.
5. Without limiting the generality of each indemnity in this Deed or the Grant Agreement, each indemnity extends to all legal costs and expenses incurred by the indemnified Party.
6. This Deed is governed by the laws of the Australian Capital Territory.
7. Each Party will pay their own costs associated with this Deed.

## Signatures

Executed as a deed:

## Commonwealth

Executed as a deed for and on behalf of the Commonwealth of Australia as represented by the [insert name of Department or Commonwealth entity] by:

|                                |  |
|--------------------------------|--|
| <b>Name</b><br>(print)         |  |
| <b>Position</b><br>(print)     |  |
| <b>Signature and date</b>      |  |
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

[Select or insert the appropriate signature block depending on the nature of Grantee. Delete the signature blocks that are not used.]

## New Grantee

Executed as a deed for and on behalf of [Insert name and ACN of the New Grantee Company]

|                                                    |                                                   |
|----------------------------------------------------|---------------------------------------------------|
| <b>Name of Company</b>                             | [insert name of company and any ABN, ACN or ARBN] |
| <b>Director Name</b><br>(print)                    |                                                   |
| <b>Signature and date</b>                          |                                                   |
| <b>Witness Name (first director)</b><br>(print)    |                                                   |
| <b>Signature and date</b>                          |                                                   |
| <b>Director/ Company Secretary Name</b><br>(print) |                                                   |
| <b>Signature and date</b>                          |                                                   |

|                                                            |  |
|------------------------------------------------------------|--|
| <b>Witness Name (second director/secretary)</b><br>(print) |  |
| <b>Signature and date</b>                                  |  |

**[OR]**Executed as a deed by **[Insert name of the New Grantee Individual]**

|                                       |                                              |
|---------------------------------------|----------------------------------------------|
| <b>Full legal name of the Grantee</b> | [insert name of the New Grantee and any ABN] |
| <b>Name</b><br>(print)                |                                              |
| <b>Signature and date</b>             |                                              |
| <b>Witness Name</b><br>(print)        |                                              |
| <b>Signature and date</b>             |                                              |

**[OR]**Executed as a deed for and on behalf of **[Insert the name of the New Grantee Partnership - note that each partner should execute, add extra rows as required]**

|                                           |                                          |
|-------------------------------------------|------------------------------------------|
| <b>Full legal name of the New Grantee</b> | [insert name of partnership and any ABN] |
| <b>Partner's Name</b><br>(print)          |                                          |
| <b>Signature and date</b>                 |                                          |
| <b>Witness Name</b><br>(print)            |                                          |
| <b>Signature and date</b>                 |                                          |

**[OR]**

Executed as a deed for and on behalf of **[Insert name of New Grantee Incorporated Association]**

|                                                             |                                                                                    |
|-------------------------------------------------------------|------------------------------------------------------------------------------------|
| <b>Full legal name of the New Grantee</b>                   | [insert name of incorporated association and any ABN or other registration number] |
| <b>Public Officer's Name</b><br>(print)                     |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Witness Name (public officer)</b><br>(print)             |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Committee Member/ Secretary Name</b><br>(print)          |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Witness Name (committee member/secretary)</b><br>(print) |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |

**[OR]**

[If the New Grantee is a trustee of a Trust, you should confirm the legal status of the trustee and use the appropriate execution clause. For example, if the trustee is a company, use the company execution clause. Make sure that you use the name of the trustee (NOT the Trust) as the 'name' of the New Grantee. The words 'as trustee of the XXX Trust' should be included at the end of the name. Use the ABN for the trust but the ACN for the trustee company because it is the legal entity entering into an Agreement].

[Select or insert the appropriate signature block depending on the nature of Grantee. Delete the signature blocks that are not used.]

## Retiring Party

Executed as a deed for and on behalf of **[Insert name and ACN of the Retiring Party Company]**

|                        |                                                   |
|------------------------|---------------------------------------------------|
| <b>Name of Company</b> | [insert name of company and any ABN, ACN or ARBN] |
|------------------------|---------------------------------------------------|

|                                                            |  |
|------------------------------------------------------------|--|
| <b>Director Name</b><br>(print)                            |  |
| <b>Signature and date</b>                                  |  |
| <b>Witness Name (first director)</b><br>(print)            |  |
| <b>Signature and date</b>                                  |  |
| <b>Director/ Company Secretary Name</b><br>(print)         |  |
| <b>Signature and date</b>                                  |  |
| <b>Witness Name (second director/secretary)</b><br>(print) |  |
| <b>Signature and date</b>                                  |  |

[OR]

Executed as a deed by [Insert name of the Retiring Party Individual]

|                                              |                                                 |
|----------------------------------------------|-------------------------------------------------|
| <b>Full legal name of the Retiring Party</b> | [insert name of the Retiring Party and any ABN] |
| <b>Name</b><br>(print)                       |                                                 |
| <b>Signature and date</b>                    |                                                 |
| <b>Witness Name</b><br>(print)               |                                                 |
| <b>Signature and date</b>                    |                                                 |

[OR]



Executed as a deed for and on behalf of [Insert the name of the Retiring Party Partnership - note that each partner should execute, add extra rows as required]

|                                              |                                          |
|----------------------------------------------|------------------------------------------|
| <b>Full legal name of the Retiring Party</b> | [insert name of partnership and any ABN] |
| <b>Partner's Name</b><br>(print)             |                                          |
| <b>Signature and date</b>                    |                                          |
| <b>Witness Name</b><br>(print)               |                                          |
| <b>Signature and date</b>                    |                                          |

[OR]

Executed as a deed for and on behalf of [Insert name of Retiring Party Incorporated Association]

|                                                             |                                                                                    |
|-------------------------------------------------------------|------------------------------------------------------------------------------------|
| <b>Full legal name of the Retiring Party</b>                | [insert name of incorporated association and any ABN or other registration number] |
| <b>Public Officer's Name</b><br>(print)                     |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Witness Name (public officer)</b><br>(print)             |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Committee Member/ Secretary Name</b><br>(print)          |                                                                                    |
| <b>Signature and date</b>                                   |                                                                                    |
| <b>Witness Name (committee member/secretary)</b><br>(print) |                                                                                    |

|                           |  |
|---------------------------|--|
| <b>Signature and date</b> |  |
|---------------------------|--|

[OR]

[If the Retiring Party is a trustee of a Trust, you should confirm the legal status of the trustee and use the appropriate execution clause. For example, if the trustee is a company, use the company execution clause. Make sure that you use the name of the trustee (NOT the Trust) as the 'name' of the Retiring Party. The words 'as trustee of the XXX Trust' should be included at the end of the name. Use the ABN for the trust but the ACN for the trustee company because it is the legal entity entering into an Agreement].

# Incubator Support

## Checklist for deed of termination and release – no repayment

### This page For Internal Use Only

This Deed of Termination and Release assumes that no payment or settlement of any dispute is being effected under this Deed and no repayment of grant funds is required after execution. If there is any overpayment to be repaid or there is outstanding substantiation that creates a possibility of repayment being required, CSMs should attempt to recover outstanding money prior to entering a Deed of Termination and Release. In all cases, a review of the grant funding before the deed is signed should be carried out as it is likely to be easier to recover overpayments, unsubstantiated payments or any other misused grant funds before this deed has effect. If repayment is required as part of the Deed of Termination and Release, CSMs should first consult the Programme Manager.

CSMs should delete instructional notes from the document prior to presentation to the Grantee for execution and confirm the page numbering.

CSMs should request a delivery receipt and read receipt when communicating electronically. A hard copy of this Deed should be sent by registered post with a delivery confirmation advice receipt.

| Location   | Instruction                                                               | Completed                |
|------------|---------------------------------------------------------------------------|--------------------------|
| Cover page | Insert programme name and project number and date,                        | <input type="checkbox"/> |
| Signatures | Choose appropriate signature block and insert name and details of Grantee | <input type="checkbox"/> |
|            | Delete notes in shaded boxes.                                             | <input type="checkbox"/> |

# Deed of Termination and Release

## Incubator Support

### [Project number]

#### Parties

The parties to this Deed of Termination and Release including any Schedules ("Deed") are the parties to the grant agreement with number [Project Number] on [insert date] under the Incubator Support initiative ("Grant Agreement").

#### Definition

Capitalised words used in this Deed have the same meaning as provided under the Grant Agreement, unless otherwise provided in this Deed.

#### Background

The Commonwealth and the Grantee have agreed to terminate the Agreement in accordance with this Deed.

#### Operative clauses

1. The parties enter into this Deed, in consideration of the promises and conditions set out in this Deed.
2. On and with effect from the date the last party signs this Deed (**Effective Date**), the Agreement is terminated by consent on the following basis:
  - a. Each party agrees there has been no default by the other in respect of the performance of the Agreement.
  - b. Each party will refrain from making all and any claims against the other in respect of the Agreement from the Effective Date (except any claims arising under the exceptions set out in clause 3 below).
3. The parties unconditionally release and discharge each other from any and all obligations or liabilities arising under or in respect of the Agreement and any other circumstances related to this Deed, except any obligation on either party under the Agreement with respect to: confidential information under clause 14 of the Agreement; Personal Information; Intellectual Property Rights; and Reporting Material.
4. The Grantee warrants (and acknowledges that the Commonwealth is relying on this warranty) that it has disclosed to the Commonwealth all information which the Grantee has, or has access to, and which is relevant to the Commonwealth's decision to enter into this Deed.
5. This Deed is governed by the laws of the Australian Capital Territory.
6. Each party will pay their own costs associated with this Deed.

## Signatures

### Executed as a deed:

#### 1. Commonwealth

Executed as a deed for and on behalf of the Commonwealth of Australia, as represented by the Attorney-General's Department by the Department of Industry, Innovation and Science.

|                                |  |
|--------------------------------|--|
| <b>Name</b><br>(print)         |  |
| <b>Position</b><br>(print)     |  |
| <b>Signature and date</b>      |  |
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

[Select or insert the appropriate signature block depending on the nature of Grantee. Delete the signature blocks that are not used.]

#### 2. Grantee

Executed as a deed for and on behalf of [name of Grantee] by:

[Use this signature block if Grantee is a Company]

|                                                    |                                                   |
|----------------------------------------------------|---------------------------------------------------|
| <b>Name of Company</b>                             | [insert name of company and any ABN, ACN or ARBN] |
| <b>Director Name</b><br>(print)                    |                                                   |
| <b>Signature and date</b>                          |                                                   |
| <b>Witness Name</b><br>(print)                     |                                                   |
| <b>Signature and date</b>                          |                                                   |
| <b>Director/ Company Secretary Name</b><br>(print) |                                                   |

|                                |  |
|--------------------------------|--|
| <b>Signature and date</b>      |  |
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

[OR]

[Use this signature block if Grantee is an Individual]

|                                       |                                          |
|---------------------------------------|------------------------------------------|
| <b>Full legal name of the Grantee</b> | [insert name of the Grantee and any ABN] |
| <b>Name</b><br>(print)                |                                          |
| <b>Signature and date</b>             |                                          |
| <b>Witness Name</b><br>(print)        |                                          |
| <b>Signature and date</b>             |                                          |

[OR]

[Use this signature block if Grantee is a Partnership - note that each partner should execute, add extra rows as required]

|                                       |                                          |
|---------------------------------------|------------------------------------------|
| <b>Full legal name of the Grantee</b> | [insert name of partnership and any ABN] |
| <b>Partner's Name</b><br>(print)      |                                          |
| <b>Signature and date</b>             |                                          |

|                                |  |
|--------------------------------|--|
| <b>Witness Name</b><br>(print) |  |
| <b>Signature and date</b>      |  |

[OR]

[Use this signature block if Grantee is an Incorporated Association]

|                                                    |                                                                                    |
|----------------------------------------------------|------------------------------------------------------------------------------------|
| <b>Full legal name of the Grantee</b>              | [insert name of incorporated association and any ABN or other registration number] |
| <b>Public Officer's Name</b><br>(print)            |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |
| <b>Committee Member/ Secretary Name</b><br>(print) |                                                                                    |
| <b>Signature and date</b>                          |                                                                                    |

[OR]

[If Grantee is a trustee of a Trust, you should confirm the legal status of the trustee and use the appropriate execution clause. For example, if the trustee is a company, use the company execution clause. Make sure that you use the name of the trustee (NOT the Trust) as the 'name' of the Substitute Party - as the trustee is the legal entity entering into the Agreement. If requested by the Substitute Party, the words 'as trustee of the XXX Trust' could be included at the end of the name]



Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## **Incubator Support - Termination of Grant Agreement**

Thank you for informing us on <insert date> that <organisation name> wishes to terminate its grant agreement under the Incubator Support initiative.

We agree to the termination and enclose two copies of the Deed of Termination and Release.

Please read the deed carefully and sign and return both copies to me at the address shown above. The deed will not become binding until both parties sign the deed. After we sign we will return a copy to you for your records.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<signature block 1>  
<signature block 2>  
<signature block 3>

<date>





Australian Government  
Department of Industry,  
Innovation and Science

# Business

Your reference no: <reference number>

<title> <first name> <last name>  
<position>  
<organisation name>  
<organisation postal address 1>  
<organisation postal address 2>  
<organisation postal address 3>  
<organisation email address>

<department address 1>  
<department address 2>  
GPO Box 2013  
Canberra ACT 2601  
p: <state office phone number>  
e: <program mailbox address>  
w: business.gov.au  
abn: 74 599 608 295

Dear <title> <first name> < last name>

## Incubator Support - Termination of Grant Agreement

We are terminating your grant agreement because <organisation name> is in breach of its obligations under the grant agreement [or] because <organisation name> has provided false and misleading information [or] because <organisation name> has become insolvent.

On <insert date>, we notified you of the breach and allowed you <number of days> to remedy the breach. As this time period has passed and you have not remedied the breach we are in our rights to terminate the grant agreement.

There are certain rights and obligations detailed in your grant agreement that continue after we terminate the grant agreement which you must comply with.

Please contact me on <phone number> if you have any questions.

Yours sincerely

<name>  
<position>  
AusIndustry  
<state office> State Office

<date>



**Australian Government**  
**Department of Industry,  
Innovation and Science**

# **Entrepreneurs' Programme - Programme Guidelines Version 8**

October 2016

I, **The Hon Greg Hunt MP**, Minister for Industry, Innovation and Science,  
issue the following *Programme Guidelines* to the *Department*.

Dated

Minister for Industry, Innovation and Science

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## Purpose

1. The purpose of the *Programme Guidelines* is to provide the framework for the operation and administration of the *Programme*.
2. The *Programme Guidelines* are not an exclusive statement of the Australian Government's requirements for the *Programme*.
3. The *Programme Guidelines* do not create any legal, equitable or other relationship between the Commonwealth and an *applicant*.
4. The *Programme* comprises four *Elements*:
  - a) *Business Management*;
  - b) *Innovation Connections*;
  - c) *Accelerating Commercialisation*; and
  - d) *Incubator Support*.
5. Parts 1, 2 and 3 of the *Programme Guidelines* apply to all *Elements* of the *Programme*. There is a separate schedule for each *Element* that contains clauses only relevant to that *Element*. Additional schedules may be added from time to time by the *Minister*.

## Commencement

6. The *Programme Guidelines* commenced on 1 July 2014.
7. *Entrepreneurs' Programme - Programme Guidelines* Version 8 replaces the *Entrepreneurs' Infrastructure Programme - Programme Guidelines* Version 7.

## Authority

8. The *Programme Guidelines*:
  - a) are made by the *Minister*;
  - b) may be amended by the *Minister* from time to time; and
  - c) may be amended by the *Programme Delegate*, for the purpose of making minor amendments to fix errors or omissions, from time to time.

## Interpretation

9. All italicised terms (excluding references to legislation) are defined in Appendix 1 and apply for the purpose of interpreting the *Programme Guidelines*. These definitions are not intended to be a substitution for the defined terms in any *Deed of Services and Release* or *Funding Agreement*.
10. The *Programme Guidelines* should be read in conjunction with the relevant *Customer Information Guides* available on [business.gov.au](http://business.gov.au).

11. In the event of any inconsistency between the *Programme Guidelines* and the *Customer Information Guides*, the *Programme Guidelines* prevail.

## Part 1 – Programme Overview

### ***Introduction***

12. The *Programme* was announced as part of the 2014-15 Federal Budget.
13. The *Programme* is the Australian Government's flagship initiative for business competitiveness and productivity at the firm level. It forms part of the Australian Government's industry policy outlined in the Industry Innovation and Competitiveness Agenda, released on 14 October 2014 and the National Innovation and Science Agenda, announced on 7 December 2015.
14. The *Programme* was expanded to northern Australian *Tourism Businesses* through the *Our North, Our Future: White Paper on Developing Northern Australia* on 18 June 2015. The *Programme* will form links with the Australian Small Business Advisory Service (ASBAS) programme to coordinate delivery of services to *Tourism Businesses* in *Northern Australia*.
15. The *Programme* will form links with the *Industry Growth Centres* to improve the capability and collaborative capacity of the identified *Growth Sectors*.
16. The *Department* is responsible for administering the *Programme*.

### ***Programme Objective***

17. The objective of the *Programme* is to drive business growth and competitiveness by supporting business improvement and innovation connections in targeted *Growth Sectors* and the commercialisation of novel products, processes and services.

### ***Programme Outcomes***

18. In meeting the *Programme* objective, the *Programme* is expected to deliver the following outcomes:
  - a) Improved business capability;
  - b) Effective business, research and commercialisation networks;
  - c) Improved business and commercialisation performance; and
  - d) Value to *Participants*.



## Part 2 – Programme Governance

### ***Roles and Responsibilities***

#### **The Minister**

19. The *Minister* will appoint a *Programme Delegate* to administer the *Programme*.
20. The *Minister* will make the final decision on which New and Existing *Incubator Support* applications to support.
21. The *Minister's* decision is final and will not be reviewed.

#### **Programme Delegate**

22. The *Programme Delegate* is authorised to make decisions in relation to the administration of the *Programme* and to give directions to the *Department* as to the interpretation of the *Programme Guidelines* and other documents used in relation to the *Programme*.
23. The *Programme Delegate* must have regard to the *Programme's* policy rationale and objective when performing any function or making any decision in relation to the *Programme*.
24. The *Programme Delegate* is responsible for:
  - a) ensuring overall efficient and effective administration of the *Programme*;
  - b) approving and amending all customer documentation, including *Customer Information Guides*;
  - c) engaging *Industry Partners* to employ *Business Advisers*, *Business Facilitators* and *Innovation Connections Facilitators*;
  - d) engaging Industry Sector Directors;
  - e) engaging *Commercialisation Advisers*;
  - f) engaging members of the *Expert Network*;
  - g) delivering and approving supporting events, domestic roadshows and international missions;
  - h) determining whether an *Eligible Corporation* qualifies as an *Eligible Partner Entity*;
  - i) determining the eligibility of applications;
  - j) entering into and varying *Funding Agreements* and *Deeds of Services and Release* on behalf of the *Department*;
  - k) authorising payment of *Grants* by the *Department* to *Recipients*;

- l) monitoring the performance of *Business Advisers, Business Facilitators, Industry Sector Directors, Innovation Connections Facilitators* and *Commercialisation Advisers*;
- m) ensuring that data is collected and available for *Programme* monitoring and evaluation;
- n) briefing the *Minister* about the *Programme*;
- o) facilitating and assisting in independent evaluations of the *Programme*; and
- p) any other responsibilities under the *Programme* as required by the *Minister*.

25. Decisions of the *Programme Delegate* are final and will not be reviewed.

### **Innovation and Science Australia**

26. *Innovation and Science Australia* will provide strategic oversight of the *Programme*.
27. *Innovation and Science Australia* will provide merit assessments and merit rankings of *Accelerating Commercialisation Grant* applications to the *Programme Delegate*; and merit assessments of New and Existing *Incubator Support* applications to the *Minister*.

### **AusIndustry**

28. The *Department*, through *AusIndustry*, delivers the single business service which includes one website ([business.gov.au](http://business.gov.au)), one contact centre (13 28 46) and one national network of highly qualified staff that both deliver Australian Government programmes and provide expert support.

### **Industry Partners**

29. The *Department* may engage *Industry Partners* to employ *Business Advisers* and *Business Facilitators* to assist in the delivery of *Business Management*, and *Innovation Connections Facilitators* to assist in the delivery of *Innovation Connections*.

### **Commonwealth's Rights**

30. Nothing in the *Programme Guidelines* should be construed to give rise to any contractual obligations or rights, expressed or implied, by the issue of the *Programme Guidelines* or the submission of an application for a *Service* or *Grant* under the *Programme*.
31. No agreement will be created between a successful *applicant* and the Commonwealth, as represented by the *Department*, until a *Funding Agreement* or *Deed of Services and Release* is formally executed.
32. Notwithstanding the approval of an application for a *Grant* or *Service*, the provision of a *Grant* or *Service* by the Commonwealth, and the amount of a *Grant*, is subject to available Commonwealth funding and changes in Commonwealth policy.

## Announcements

33. The *Department* will report on its website, information on individual *Grants* as required by paragraph 5.3 of the [Commonwealth Grants Rules and Guidelines](#), available on the Department of Finance's website.
34. In addition, the *Minister* or the *Department* may publicly announce information about successful activities and details of *Participants* that the *Department* determines is not confidential (see clause 52), including the:
  - a) name of the *Participant*;
  - b) description of the activity and its objectives;
  - c) amount of funding awarded (where applicable).

## Conflicts of Interest

35. The *Department* will maintain procedures for managing conflicts of interest for staff within the *Department*, technical experts and other third parties involved in the management, assessment and evaluation of: the *Programme*, applications and the delivery of *Activities*. Conflicts of interest will be managed in accordance with these procedures. A *conflict of interest* can arise in situations where a person has an interest or relationship, whether real, perceived or potential, that conflicts with a duty they hold or where they have a role that conflicts with another role.
36. The *Department's* [procedures for managing conflicts of interests](#) by its employees are in accordance with the requirements of the [APS Code of Conduct](#) (section 13(7) of the *Public Service Act 1999 (Cth)*), the *Public Governance, Performance and Accountability Act 2013 (Cth)* and the *Public Governance Performance and Accountability Rule 2014*.
37. The *Department* will manage potential, perceived and actual *Innovation and Science Australia* member conflicts of interest through a *conflict of interest* process that requires *Innovation and Science Australia* members to declare any *conflict of interest* by members and exclude those members from the application assessment process if the *Programme Delegate* determines that the *conflict of interest* is material.
38. *Industry Partners, Industry Sector Directors, Business Advisers, Business Facilitators, Innovation Connections Facilitators* and *Commercialisation Advisers* must identify to the *Department* any actual, perceived or potential conflicts of interest they believe will or may arise during the delivery of the *Programme* and, where a conflict is identified, specify how that conflict will be addressed and monitored to ensure it does not compromise the outcomes desired of the *Programme*.

## Feedback and Complaints

39. Information about feedback and complaints handling concerning the *Programme* is included in the relevant *Customer Information Guide* and the Customer Service Charter published on [business.gov.au](http://business.gov.au).

40. Complaints concerning decisions will, in the first instance, be directed to the appropriate manager within the *Department*.
41. If the *applicant* is not satisfied with the complaint resolution procedure, the *applicant* may escalate the complaint to the *Programme Delegate*.
42. The *applicant* is also entitled to lodge a complaint with the Commonwealth Ombudsman.
43. Details on how *applicants* may lodge a complaint are published on [business.gov.au](https://business.gov.au).

### **Programme Contact Details**

44. Any queries regarding the *Programme Guidelines* should be directed to [business.gov.au](https://business.gov.au) or the contact centre on 13 28 46.

### **Protection of Information**

45. The use and disclosure of information provided to the *Department*, *Business Advisers*, *Industry Partners*, *Business Facilitators*, *Innovation Connections Facilitators* and *Commercialisation Advisers* by an *applicant* (including information provided as part of any application) is regulated by the relevant provisions and penalties of the *Public Service Act 1999 (Cth)*, the *Public Service Regulations*, the *Archives Act 1983 (Cth)*, the *Privacy Act 1988 (Cth)*, the *Crimes Act 1914 (Cth)*, the *Criminal Code Act 1995 (Cth)* and general law.

### **Use and Disclose of Information**

46. Unless the information provided to the *Department* is:
  - a) *Personal Information* in accordance with sections 47 to 51; or
  - b) *Confidential Information* in accordance with sections 52 to 53

the *Department* may disclose the information to any person for any purpose directly related to the activities and functions of the Australian Government, including but not limited to the purpose of:

- a) announcing the awarding of *Grants*;
- b) improving the effective administration, monitoring and evaluation of this or other Commonwealth programmes; or
- c) conducting research within the *Department* or another Commonwealth agency.

### **Personal Information**

47. The *Department* is bound by the Australian Privacy Principles (APPs) outlined in Schedule 1 of the *Privacy Act 1988 (Cth)*. The APPs regulate how the *Department* may collect, use, disclose and store *Personal Information*.

48. 'Personal Information' under the *Privacy Act 1988 (Cth)* means information or an opinion (whether true or false) about a natural person who is reasonably identifiable.

### Use of Personal Information

49. *Personal Information* obtained by the *Department* will only be used by the *Department* and may be disclosed to:

- a) the *Minister*, the Parliamentary Secretary, and their Office; and
- b) other Commonwealth Ministers; and
- c) *Industry Growth Centres*; and
- d) *Industry Partners, Industry Sector Directors, Business Advisers, Business Facilitators, Innovation Connections Facilitators and Commercialisation Advisers*; and
- e) other Commonwealth, State or Territory government departments and agencies; and
- f) technical, financial, economic, and/or industry experts (including auditors); and
- g) *Departmental* contractors,

for the purposes of:

- h) administering the *Programme* and any related purposes, including programme and policy evaluation and development; and
- i) *Departmental* research, analysis, and evaluation; and
- j) reporting and consultation with other Commonwealth, State or Territory government agencies; and
- k) reviewing applications to provide technical or financial advice on a contract basis; and
- l) referring *Participants* to *Industry Growth Centres*,

except where authorised or required by law (see section 54).

50. An *applicant* or *Participant* must obtain consent from an individual before providing their *Personal Information* to the *Department* or any other third parties, except where authorised or required by law.
51. For further information as to how the *Department* handles *Personal Information*, please refer to the *Department's* [Privacy Policy](#).

### Confidential Information

52. The *Department* will treat an *applicant's* or *Participant's* information as *Confidential Information* if:

- a) the information is clearly identified as confidential; and
- b) the information has the necessary quality of confidence (that is, it must be significant information which is private and not already in the public domain).

### Use and Disclosure of Confidential Information

53. Unless the *Department* obtains an *applicant's* or *Participant's* consent, the *Department* will not disclose *Confidential Information* other than to:

- a) the *Minister*, the Parliamentary Secretary, and their Office; and
- b) other Commonwealth Ministers; and
- c) *Industry Growth Centres*; and
- d) *Industry Partners, Industry Sector Directors Business Advisers, Business Facilitators, Innovation Connections Facilitators and Commercialisation Advisers*; and
- e) other Commonwealth, State or Territory government departments and agencies; and
- f) technical, financial, economic, and/or industry experts (including auditors); and
- g) *Departmental* contractors,

for the purposes of:

- h) administering the *Programme* and any related purposes, including programme and policy evaluation and development; and
- i) *Departmental* research, analysis, monitoring and evaluation; and
- j) reporting and consultation with other Commonwealth, State or Territory government agencies; and
- k) reviewing applications to provide technical or financial advice on a contract basis; and
- l) sectoral analysis by *Industry Growth Centres*.

### Disclosure of Information Where Authorised or Required by Law

54. In addition to anything in these *Programme Guidelines*, from time to time the *Department* may be authorised or required by law to disclose information (including *Personal Information* and *Confidential Information*) to other persons, including but not limited to:

- a) a Commonwealth Minister and Ministerial Office;
- b) a House or a Committee of the Parliament of Australia;
- c) the Auditor-General under the *Auditor-General Act 1997 (Cth)*;

- d) the Commonwealth Ombudsman under the *Ombudsman Act 1976 (Cth)*; and
- e) the Privacy Commissioner under the *Privacy Act 1988 (Cth)*.

### **Information Storage**

- 55. Any information obtained will be stored and held in accordance with the *Department's* obligations under the *Archives Act 1983 (Cth)*.

### **Freedom of Information**

- 56. All documents created or held by the *Department* in relation to the *Programme* are subject to the *Freedom of Information Act 1982 (Cth)* (FOI Act). Unless information is exempt it will be made available to the general public if requested under the FOI Act.
- 57. All Freedom of Information (FOI) requests are to be referred to the FOI Coordinator in the *Department*. Decisions regarding requests for access will be made by an authorised officer in accordance with the requirements of the FOI Act.

### **Programme Evaluation**

- 58. The *Department* will monitor and evaluate the performance of the *Programme*.
- 59. *Participants* will be required to provide performance and evaluation data to the *Department*, which will be analysed at various times to measure the effect of the *Programme* on *Participants*.

### **Tax Obligations**

- 60. *Grants* under the *Programme* may attract the Goods and Services Tax (GST). *Grant* payments are increased to compensate for the amount of this tax.
- 61. *Grants* under the *Programme* may be treated as assessable income for taxation purposes. On this basis, *applicants* are recommended to seek their own independent professional advice on their taxation obligations.



## Part 3 – Programme Delivery

### ***Supporting Events***

62. In addition to the specified *Activities* outlined in the schedules, the *Department* may conduct targeted and facilitated events in support of the *Programme*. These events may feature industry specialists, *Business Advisers*, *Business Facilitators*, *Innovation Connections Facilitators*, *Commercialisation Advisers* or guest speakers.

### ***Eligibility***

63. Each *Element* has specific eligibility requirements. Refer to the relevant schedule for more information.

### ***Applications***

64. To apply for any *Activity* under the *Programme* an *applicant* must, unless advised otherwise, complete the *application form* relevant to that *Activity* and submit the application electronically through [business.gov.au](https://business.gov.au).
- a) *Applicants* should read the relevant *Customer Information Guide* prior to completing the application. A Customer Information Guide is not required for the Incubator Support element as all relevant information is available in Schedule E and [business.gov.au](https://business.gov.au).
65. An application for the *Programme* must:
- a) be completed by the *applicant* or an authorised representative of the *applicant*; and
  - b) provide all the information required by, and specified in, the *application form*.

### ***Application Assessment***

66. The *Programme Delegate* will determine whether an application is an *Eligible Application*.

### ***Business Management***

67. *Business Management* (excluding *Growth Services*) uses a demand-driven selection process whereby *applicants* whose application is deemed to be an *Eligible Application* will receive the *Service* or *Grant*:
- a) up to the limit of available funding; and
  - b) subject to revision, suspension or abolition of the *Activity*.
68. *Growth Services* uses a non-competitive open merit-based selection process.



## **Innovation Connections**

69. *Innovation Connections* uses a demand-driven selection process whereby *applicants* whose application is deemed to be an *Eligible Application* will receive the *Service* or *Grant*:
- a) up to the limit of available funding; and
  - b) subject to revision, suspension or abolition of the *Activity*.

## **Accelerating Commercialisation**

70. *Accelerating Commercialisation Grant* uses a competitive open merit-based selection process.
71. *Portfolio Services* uses a non-competitive open merit-based selection process.

## **Northern Australia Tourism**

72. *Northern Australia Tourism* uses a demand-driven selection process whereby *applicants* whose application is deemed to be an *Eligible Application* will receive a *Service* or *Grant*:
- a) up to the limit of available funding; and
  - b) subject to revision, suspension or abolition of the *Activity*.

## **Incubator Support Initiative**

73. New or Existing Incubator Support Grant uses a competitive open merit-based selection process.
74. Expert-in-Residence uses a demand-driven selection process whereby *applicants* whose application is deemed to be an *Eligible Application* will receive a *Grant*:
- a) up to the limit of available funding; and
  - b) subject to revision, suspension or abolition of the *Activity*.

## ***Submission of a New Application***

75. The *Programme Delegate* may reject an application if that application is for a business or project that is substantially the same as a previous ineligible or unsuccessful application.

## ***Application Approval***

76. Subject to eligibility assessment, merit assessment (if applicable) and available funding, the *Minister* or the *Programme Delegate* (where applicable) may approve the provision of a *Service* or *Grant* to an *applicant*.
77. The *Programme Delegate* may approve the *Department* entering into a *Deed of Services and Release* or a *Funding Agreement* with an *applicant*.

78. If *Programme* funding is no longer available, information will be published on [business.gov.au](http://business.gov.au).
79. *Applicants* will be advised formally of the outcome of their application in writing by the *Department*.

### ***Provision of Other Services***

80. Consistent with the objectives of the *Programme*, the *Programme Delegate* may, with the consent of the *applicant*, approve for an *applicant* to receive an alternative *Service*, if it is deemed by the *Programme Delegate* to be more suitable to the *applicant's* needs, provided the *applicant* satisfies all relevant eligibility criteria. In this case, the *applicant* may not be required to submit a separate *application form* unless a merit assessment is required.
81. Consistent with the objectives of the *Programme*, the *Programme Delegate* may agree, on a case by case basis, to provide a *Participant* in the *Portfolio* with the opportunity to access *Services* from *Business Management* or *Innovation Connections* without having to satisfy the relevant eligibility criteria, subject to the conditions outlined in the *Accelerating Commercialisation Customer Information Guide*.

### ***Deeds of Services and Release and Funding Agreements***

82. To receive *Portfolio Services*, *Participants* will be required to enter into a *Deed of Services and Release* with the *Department* which sets out the terms of the *Service*.
83. Before any *Grant* is paid, *Participants* will be required to enter into a *Funding Agreement* with the *Department* which sets out the terms of the *Grant*.
84. Among other things, a *Deed of Services and Release* or *Funding Agreement* must:
- a) require that the *Participant* conduct the activities to which the application relates;
  - b) provide for variation and termination of the *Deed for Services and Release* or *Funding Agreement* and set out dispute resolution procedures;
  - c) include any other matters that the *Programme Delegate* considers necessary for the administration of the *Programme*; and
  - d) not be inconsistent with the laws and policies of the Commonwealth, a State, a Territory or the *Programme Guidelines*.
85. In addition to clause 84 a *Funding Agreement* must:
- a) ensure that the *Department* is empowered to recover the *Grant* in circumstances where the *Participant* has not complied with the terms and conditions set out in the *Funding Agreement*;
  - b) specify the maximum amount of the *Grant* and the timing, method and conditions of delivery of the relevant activities; and

- c) require that the *Recipient* provide evidence of expenditure claimed.
86. Samples of *Deed of Services and Release* and *Funding Agreements* will be available on [business.gov.au](http://business.gov.au).

## **Variations**

87. The *Programme Delegate* may, at their discretion, agree with a *Participant* to vary the *Deed of Services and Release* or *Funding Agreement*, including an increase in the *Grant* amount.
88. A variation to a *Deed of Services and Release* or *Funding Agreement* will only be considered by the *Programme Delegate* if it:
- a) is consistent with the *Programme's* and *Element's* objective;
  - b) is appropriate in all circumstances;
  - c) can be accommodated within available *Programme* funding;
  - d) is in writing; and
  - e) is requested prior to the *Deed of Services and Release* or *Funding Agreement* end date.

## Schedule A

# Business Management

### Introduction

89. *Business Management* provides advice and facilitation services to improve business capabilities and networks, fostering competitive businesses for the future.
90. *Business Management* is supported by *Industry Partners* and delivered through a national network of experienced *Business Advisers* and *Business Facilitators*.
91. *Business Management* commenced on 1 July 2014.

### Transition Arrangements

92. *Participants* that applied for an activity under *Business Management* prior to the date of effect of this Guideline will receive that *Activity* in accordance with the version of the *Programme Guidelines* in effect at the time of the application for that *Activity*.

### Objective

93. The objective of *Business Management* is to encourage and assist small and medium businesses to improve their capabilities, extend their networks and take advantage of growth opportunities.

### Outcomes

94. Key outcomes from *Business Management* may include that:
  - a) *Participants* improve their management skills;
  - b) *Participants* improve their business systems and processes;
  - c) *Participants* improve their ability to identify and leverage growth opportunities;
  - d) *Participants* extend their business networks to increase their market and supply chain participation; and
  - e) *Participants* improve their business performance.

### Activities

95. *Applicants* may apply for one or more of the following *Business Management Activities*: *Business Evaluation*, *Supply Chain Facilitation*, *Growth Services* and *Business Growth Grant*.

### Business Evaluation

96. A *Business Evaluation* is a range of *Services* initially comprising an evaluation by a *Business Adviser* to tailor the *Service* to the *Participant's* needs, based on the

*Participant's* capacity, commitment and need to undertake significant improvements. Following this evaluation a *Participant* may receive one or more of the following:

- a) business improvement advice and referrals;
- b) a detailed analysis of its business by a *Business Adviser* and recommendations for improvement presented in a *Business Evaluation Action Plan*; and
- c) support for implementation of the *Business Evaluation Action Plan* with the assistance of a *Business Adviser*.

The *Services* provided to each *Participant* will be determined by the *Programme Delegate*, based on recommendations by the *Business Adviser*.

## Supply Chain Facilitation

97. *Supply Chain Facilitation* is a range of *Services* delivered to a *Participant* to facilitate access to supply chain opportunities in the *Growth Sectors*. *Participants* may attend *Customer Connections* events or undertake a *Supplier Improvement Plan* to improve their capability in meeting supply requirements.

## Growth Services

98. *Growth Services* is a range of *Services* that support a *Participant*, over a 24 month period, to achieve growth through strategic business improvements and connections. A *Business Adviser* conducts initial growth opportunity and capability analyses, develops a tailored and agreed *Growth Plan*, provides access to specialist *Business Advisers* and *Business Facilitators*, and brokers connections to experts and providers to assist the business to capitalise on its growth opportunities.

## Business Growth Grant

99. A *Business Growth Grant* is a *Grant* that reimburses a *Participant* for up to half of the cost of engaging a consultant (up to a maximum of \$20,000) to make business improvements that were recommended in the:
- a) *Business Evaluation Report*, *Business Evaluation Action Plan*, *Supplier Improvement Plan* or *Growth Plan*; or
  - b) *Business Review Report*, *Continuous Improvement Report* or *Continuous Sustainable Improvement Plan* under the *Enterprise Connect* programme.

## Eligibility

100. To be eligible for *Services* under *Business Management* an *applicant* must:
- a) be an *Eligible Corporation* that is non tax-exempt and is registered for GST;
  - b) satisfy the sectoral eligibility criteria in clause 108;
  - c) have an annual turnover or operating expenditure within the following range:

- i. between \$1.5 million and \$100 million; or
- ii. between \$750,000 and \$100 million – for an *applicant* from *Remote Australia* or *Northern Australia*;
- d) be solvent;
- e) have operated in Australia and filed business activity statements showing ongoing trading in at least three consecutive years<sup>1</sup>;
- f) satisfy the eligibility criteria specific to the relevant *Activity* (clauses 102-107); and
- g) not be named by the Workplace Gender Equality Agency as an organisation that has not complied with the *Workplace Gender Equality Act 2012 (Cth)*.

101. The following entities are **ineligible** to apply for *Business Management*:

- a) individuals;
- b) partnerships;
- c) trusts, except for trusts with trustees that are *Eligible Corporations*; and
- d) Commonwealth, State and Local Government agencies and bodies (including government business enterprises).

## Business Evaluation

102. To be eligible for a *Business Evaluation*, *applicants* must not have previously received a:

- a) *Business Evaluation Report* or *Business Evaluation Action Plan*, or
  - b) *Business Review Report* under the *Enterprise Connect* programme,
- in the last five years.

## Supply Chain Facilitation

103. To be eligible to participate in a *Customer Connections* event, *applicants* must have completed, or be engaged in, a:

- a) *Business Evaluation*, *Supplier Improvement Plan* or *Growth Plan*; or

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<sup>1</sup> For the avoidance of doubt, applicants may still be eligible under this sub-criterion, if an applicant's business structure, ownership and/or Australian Company Number has changed within the three consecutive year period. Applicants would be required to provide business activity statements for this period. For further information on the eligibility for *Services* under *Business Management* please see the relevant *Customer Information Guide* published on [business.gov.au](http://business.gov.au).

- b) *Business Review Report, Continuous Improvement Report or Continuous Sustainable Improvement Plan* under the *Enterprise Connect* programme; or
- c) an equivalent service.

104. To be eligible to receive a *Supplier Improvement Plan*, applicants must not have previously received a *Supplier Improvement Plan*, or a *Continuous Improvement Plan* under the *Enterprise Connect* programme, in the last five years.

## Growth Services

105. To be eligible for *Growth Services*, applicants must not have previously received *Growth Services* in the last five years.

## Business Growth Grant

106. A *Business Growth Grant* can only fund activities directly related to the implementation of recommendations identified in a:

- a) *Business Evaluation Report, Business Evaluation Action Plan, Supplier Improvement Plan, Growth Plan, or Tourism Partnership Plan*; or
- b) *Business Review Report, Continuous Improvement Report or Continuous Sustainable Improvement Plan* under the *Enterprise Connect* programme.

107. To be eligible for a *Business Growth Grant*, applicants must:

- a) apply for a *Business Growth Grant* within:
  - i. six months of receipt of a *Business Evaluation Report, Business Evaluation Action Plan or Supplier Improvement Plan*; or
  - ii. six months of receipt of a *Business Review Report, Continuous Improvement Report or Continuous Sustainable Improvement Plan* under the *Enterprise Connect* programme; or
  - iii. within 24 months of receipt of a *Growth Plan*,
 unless otherwise agreed by the *Programme Delegate*.
- b) provide a quote from two different consultants to implement part or all of the recommendations in the report or plan identified in clause 107(a), unless otherwise agreed by the *Programme Delegate*;
- c) demonstrate the preferred consultant is bringing new areas of expertise to the business;
- d) demonstrate the work related to the *Business Growth Grant* is not part of the ordinary operations of the business;
- e) demonstrate how the activities will build identified capabilities; and



- f) be able to fund the total value of the costs of engaging the consultant before receiving the *Grant* (which is worth half of the total value up to a maximum *Grant* of \$20,000).

## Sectors

108. To be eligible for *Services* under *Business Management*, *applicants* must:

- a) be operating in one or more of the *Growth Sectors*; or
- b) provide *Enabling Technologies and Services* to one or more of the *Growth Sectors*; or
- c) demonstrate they are committed to, and have the skills, capability, intellectual property or expertise to operate in, one of the *Growth Sectors* in the future.

## Applications

- 109. Applications for *Services* under *Business Management* may be lodged at any time during the life of the *Programme*.
- 110. Applications for *Business Growth Grants* must be made within the time period set out in clause 107(a).
- 111. Applications for *Activities* under *Business Management* will be assessed against the relevant eligibility criteria by the *Programme Delegate*.
- 112. Other than for *Growth Services*, *applicants* whose application is deemed to be an *Eligible Application* will receive the *Service* or *Grant* up to the limit of available funding and subject to revision, suspension or abolition of the *Activity*.
- 113. Applications for *Growth Services* will also undergo a merit assessment as outlined in clauses 115-118.
- 114. Information relating to the application process is provided in the relevant *Customer Information Guide* published on [business.gov.au](http://business.gov.au).

## Assessment Process

### Growth Services

- 115. Only applications for *Growth Services* that are deemed to be *Eligible Applications* will proceed to the merit assessment stage.
- 116. During the merit assessment stage, a *Business Adviser* will use evidence provided in the application and during an on-site meeting with the *applicant* to assess the *applicant* against the following equally weighted merit criteria:
  - a) Growth opportunity;
  - b) Growth commitment; and
  - c) Resources and capacity to execute a growth plan.



117. The *Programme Delegate* will take the *Business Adviser's* assessment into account when deciding whether to approve an application for *Growth Services*.
118. Further guidance on the *Growth Services* assessment process is available through the *Growth Services Customer Information Guide* published on [business.gov.au](https://business.gov.au).

### ***Payment of Grants***

119. *Grants* will be paid in arrears following the completion of the *Business Growth Grant* activities and acquittal of associated costs.

### ***Business Advisers and Business Facilitators***

120. The role of the *Business Advisers* and *Business Facilitators* includes, but is not limited to:
- a) providing advice, mentoring and specialist expertise to *Participants*;
  - b) assisting *Participants* in developing their professional networks and providing connections;
  - c) fostering innovation, productivity, and continuous improvement in *Participants*;
  - d) alliance building between *Participants*;
  - e) mapping capability and connections for *Participants*;
  - f) providing recommendations to *Participants* to embed improvements in their business;
  - g) engaging specialists for provision of specialist services and advice;
  - h) understanding and drawing on knowledge from the *Industry Growth Centres*;
  - i) providing the *Department* with industry intelligence;
  - j) *Programme* marketing and promotional activities; and
  - k) undertaking other activities agreed by the *Programme Delegate*.

## Schedule B

# Innovation Connections

### **Introduction**

121. *Innovation Connections* provides businesses with expert guidance on knowledge-related issues and links businesses with appropriate knowledge providers and research organisations.
122. *Innovation Connections* is supported by *Industry Partners* and delivered through a national network of *Innovation Facilitators*.
123. *Innovation Connections* commenced on 1 January 2016 and is a continuation and expansion of the former *Research Connections*.

### **Transition Arrangements**

124. *Participants* that applied for an *Activity* under the former *Research Connections* will receive that *Activity* in accordance with the version of the *Programme Guidelines* in effect at the time of the application for the *Activity*.

### **Objective**

125. The objective of *Innovation Connections* is to encourage and assist small and medium businesses to access knowledge, engage with *Researchers* and foster innovation.

### **Outcomes**

126. Key outcomes from *Innovation Connections* may include that:
- a) *Participants* improve their use of technology;
  - b) *Participants* improve their ability to address research problems;
  - c) *Participants* improve their ability to innovate;
  - d) *Participants* extend their networks to leverage research capability; and
  - e) *Participants* improve their business performance.

### **Activities**

127. *Applicants* may apply for one or more of the following *Innovation Connections Activities*: *Innovation Connections Facilitation* and *Innovation Connections Grant*.

### **Innovation Connections Facilitation**

128. An *Innovation Connections Facilitation* is a *Service* that provides a *Participant* with assistance to address knowledge or research related issues. A *Participant* may receive one or more of the following:

- a) diagnosis of knowledge-related issues and/or opportunities;
- b) identification of critical research areas for improvement;
- c) identification of strategic research opportunities to expand into new or existing markets;
- d) identification of appropriate sources of expertise, suppliers of technology and technical knowledge advice;
- e) mapping of pathways for research sector engagement and collaboration; and
- f) facilitated access to Science, Technology, Engineering and Mathematics (STEM) expertise.

129. At the conclusion of the *Innovation Connections Facilitation*, *Participants* will be provided with an *Innovation Facilitation Report* which may include recommendations to address the *Participant's* identified research needs and opportunities.

### **Innovation Connections Grant**

130. An *Innovation Connections Grant* is a *Grant* which reimburses a *Participant* for up to half the cost, over a period of up to 12 months for the cost of a:

- a) *Researcher Placement*, up to a maximum of \$50,000; or
- b) *Business Researcher Placement*, up to a maximum of \$50,000; or
- c) *Graduate Placement*, up to a maximum of \$30,000.

## ***Eligibility***

### **Innovation Connections Facilitation**

131. To be eligible for an *Innovation Connections Facilitation* an *applicant* must:

- a) be an *Eligible Corporation* that is non tax-exempt and is registered for GST; and
- b) satisfy the sectoral eligibility criteria in clause 135; and
- c) have an annual turnover or operating expenditure within the following range:
  - i. between \$1.5 million and \$100 million; or
  - ii. between \$750,000 and \$100 million – for an *applicant* from *Remote Australia* or *Northern Australia*;
- d) be solvent; and

- e) have operated in Australia and filed business activity statements showing ongoing trading in at least three consecutive years<sup>2</sup>; and
- f) must not have previously received a Research Connections Facilitation or an *Innovation Connections Facilitation*, unless otherwise agreed by the *Programme Delegate*; and
- g) not be named by the Workplace Gender Equality Agency as an organisation that has not complied with the *Workplace Gender Equality Act 2012 (Cth)*.

132. The following entities are **ineligible** to apply for *Innovation Connections*:

- a) individuals;
- b) partnerships;
- c) trusts, except for trusts with trustees that are *Eligible Corporations*; and
- d) Commonwealth, State and Local Government agencies and bodies (including government business enterprises).

### **Innovation Connections Grant**

133. To be eligible for an *Innovation Connections Grant*, applicants must:

- a) have received a Research Facilitation Report or an *Innovation Facilitation Report*; and
- b) be undertaking one of the following *Activities* recommended in the *Research or Innovation Facilitation Report*:
  - i. a Researcher Placement; or
  - ii. a Business Researcher Placement; or
  - iii. a Graduate Placement.
- c) be able to fund the total value of the cost of the *Innovation Connections Project* before receiving the *Innovation Connections Grant*; and
- d) identify the proposed research provider, research employee, graduate or post-graduate; and
- e) apply for an *Innovation Connections Grant* within 12 months of receiving a Research Facilitation Report or an *Innovation Facilitation Report*, unless otherwise agreed by the *Programme Delegate*.

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<sup>2</sup>For the avoidance of doubt, applicants may still be eligible under this sub-criterion, if an applicant's business structure, ownership and/or Australian Company Number has changed within the three consecutive year period. Applicants would be required to provide business activity statements for this period. For further information on the eligibility for *Innovation Connections Facilitation* please see the *Innovation Connections Customer Information Guide* published on [business.gov.au](http://business.gov.au).

134. To be eligible for an *Innovation Connections Grant*, applicants must not have previously received either a *Research Connections Grant* or an *Innovation Connections Grant* in the last five years, except where a second *Grant* is provided for by the same *Research Facilitation Report* or *Innovation Facilitation Report* (clause 141).

## Sectors

135. To be eligible for an *Innovation Connections Facilitation*, applicants must:
- a) be operating in one or more of the *Growth Sectors*; or
  - b) provide *Enabling Technologies and Services* to one or more of the *Growth Sectors*; or
  - c) demonstrate they are committed to, and have the skills, capability, intellectual property or expertise to operate in, one of the *Growth Sectors* in the future.

## Applications

136. Applications for an *Innovation Connections Facilitation* may be lodged at any time during the life of the *Programme*.
137. Applications for an *Innovation Connections Grant* must be made within the time period set out in clause 133(e).
138. Applications for *Activities* under *Innovation Connections* will be assessed against the relevant eligibility criteria by the *Programme Delegate*.
139. Applicants whose application is deemed to be an *Eligible Application* will receive the *Service* or *Grant* up to the limit of available funding and subject to revision, suspension or abolition of the *Activity*.
140. The *Programme Delegate* may agree that a *Publicly Funded Research Organisation* can enter into a *Funding Agreement* with the *Department* for an *Innovation Connections Grant* at the request of an *applicant* for the purposes of providing research capability to that *applicant*.
141. Within six weeks of the completion of a *Research Connections Project* or an *Innovation Connections Project*, a *Recipient* may apply for a second *Innovation Connections Grant* to undertake a new *Innovation Connections Project*. A maximum of two *Innovation Connections Projects* may be supported under an *Innovation* or *Research Facilitation Report*.
142. Information relating to the application process is provided in the *Innovation Connections Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## ***Payment of Grants***

143. An *Innovation Connections Grant* will reimburse the *Recipient* as set out in clause 130 of acquitted *Innovation Connections Project* costs, in accordance with the *Funding Agreement*.

## ***Innovation Facilitators***

144. The role of the *Innovation Facilitators* includes, but is not limited to:

- a) providing advice and mentoring to *Participants* to foster innovation, productivity, and continuous improvement;
- b) identifying strategic research opportunities for *Participants*;
- c) mapping existing capability of the research sector;
- d) connecting *Participants* to relevant research providers;
- e) providing recommendations to *Participants* regarding knowledge-related issues;
- f) understanding and drawing on knowledge from the *Industry Growth Centres*;
- g) *Programme* marketing and promotional activities; and
- h) undertaking other activities agreed by the *Programme Delegate*.

## Schedule C

# Accelerating Commercialisation

### Introduction

145. *Accelerating Commercialisation* provides expert guidance, connections and financial support to assist small and medium businesses, entrepreneurs and researchers to find the right commercialisation solutions for their novel product, process or service.
146. The *Department* will engage a national network of experienced *Commercialisation Advisers* to assist in the delivery of *Accelerating Commercialisation*.
147. *Accelerating Commercialisation* commenced on 1 November 2014.

### Transitional Arrangements

148. *Commercialisation Australia* programme participants will continue to receive the services outlined in their *Commercialisation Australia* funding agreements in accordance with the terms and conditions of that agreement. These participants will receive *Portfolio Services* for the duration of the agreed *Commercialisation Australia* project and for an additional 24 months following the project's completion.

### Objective

149. The objective of *Accelerating Commercialisation* is to encourage and assist small and medium businesses, entrepreneurs and researchers to commercialise novel products, processes and services.

### Outcomes

150. Key outcomes for *Accelerating Commercialisation* may include that:
- a) *Participants* improve their ability to commercialise intellectual property;
  - b) *Participants* improve their ability to attract private investment;
  - c) *Participants* commercialise novel products, processes and services;
  - d) *Participants* extend their networks to accelerate their commercialisation process; and
  - e) *Participants* improve their business performance.

## Activities

151. *Applicants* may apply for one or more of the following *Accelerating Commercialisation Activities*: *Commercialisation Guidance*, *Accelerating Commercialisation Grant* and *Portfolio Services*.

### Commercialisation Guidance

152. *Commercialisation Guidance* is a range of *Services* for which a *Participant* may receive one or more of the following from *AusIndustry* or a *Commercialisation Adviser*:
- a) feedback on their eligibility for other *Activities* under *Accelerating Commercialisation*;
  - b) referral to other Federal, State and Territory Government programmes;
  - c) referral to *Services* of *Business Management* or *Innovation Connections*;
  - d) guidance and feedback on the proposed *Commercialisation Project* or *Commercialisation Strategy*; and
  - e) guidance on the application processes for other *Activities* under *Accelerating Commercialisation*.

### Accelerating Commercialisation Grant

153. An *Accelerating Commercialisation Grant* is a *Grant* to support eligible *Commercialisation Projects* for up to 50 per cent of the *Eligible Expenditure*, up to a maximum of:
- a) \$250,000 for *Commercialisation Offices* and *Eligible Partner Entities*; or
  - b) \$1 million for all other *applicants*.
154. *Accelerating Commercialisation Grant Recipients* will also receive *Portfolio Services* for the duration of agreed project in their *Funding Agreement*, and up to an additional 24 months at the discretion of the *Programme Delegate*.

### Portfolio Services

155. *Portfolio Services* are a range of *Services* which provide *Participants* with commercialisation assistance. *Services* could include one or more of the following:
- a) support from a *Commercialisation Adviser* who may provide the services listed in clause 195;
  - b) an opportunity to access the *Expert Network* (via a *Commercialisation Adviser*) to help make business connections, create opportunities to raise capital and/or enter new markets;



- c) exposure to investors and multi-national corporations through domestic and international roadshows; and
- d) inclusion in the *Portfolio*.

The *Services* provided to each *Participant* will be determined by the *Programme Delegate*, taking into account the *Participant's* objectives as outlined in their *application form* or *Commercialisation Australia* funding agreement.

156. The *Portfolio* is an aggregation of *Accelerating Commercialisation Participants* brought together for global visibility to investors, other entrepreneurs, domain experts, supply chains and strategic corporations.

157. *Participants* of *Portfolio Services* only will be included in the *Portfolio* for up to 24 months, as outlined in their *Deed of Services and Release* and at the discretion of the *Programme Delegate*.

## ***Eligibility***

158. To be eligible for *Accelerating Commercialisation*, *applicants* must:

- a) have a novel product, process or service they wish to commercialise and trade to customers external to the state or territory of the *applicant's* place of business;
- b) satisfy the eligibility criteria specific to the relevant *Activity* (clauses 159-167); and
- c) not be named by the Workplace Gender Equality Agency as an organisation that has not complied with the *Workplace Gender Equality Act 2012 (Cth)*.

## **Commercialisation Guidance**

159. To be eligible for *Commercialisation Guidance*, *applicants* need to satisfy clauses 158(a) and 158(c) only.

## **Accelerating Commercialisation Grant**

160. To be eligible for an *Accelerating Commercialisation Grant*, *applicants* must be:

- a) an *Eligible Corporation* that is non tax-exempt and is registered for GST; or
- b) an *Eligible Corporation* that is an incorporated trustee registered for GST acting for a trust; or
- c) a *Commercialisation Office* or *Eligible Partner Entity*; or

- d) an individual, partnership or trustee who agrees to form an *Eligible Corporation*, that is non tax-exempt and is registered for GST, before signing a *Funding Agreement*.
161. In addition, to be eligible for an *Accelerating Commercialisation Grant*, *applicants* must:
- a) have received *Commercialisation Guidance*; and
  - b) have a combined annual turnover of less than \$20 million for each of the three financial years prior to the lodgement of the application; and
  - c) be undertaking a *Commercialisation Project* that satisfies the conditions specified in clauses 168-170; and
  - d) have ownership, access to, or the beneficial use of, any intellectual property that is the subject of, or is necessary to carry out the *Commercialisation Project*; and
  - e) submit an application that contains sufficient information to undertake a merit assessment; and
  - f) be able to demonstrate an ability to fund at least 50 per cent of the *Eligible Expenditure* from non-Government Grant Sources.
162. Applications from *Commercialisation Offices* and *Eligible Partner Entities* are not required to satisfy clause 161(b).
163. In clause 161(b) the combined annual turnover must include the turnover of the *applicant* and of each *Related Body Corporate* (if any) at the time the *Programme Delegate* receives the application, except where the *applicant* is controlled by a *Publicly Funded Research Organisation* or *Eligible Partner Entity*, in which case the turnover of the *applicant* in isolation must be less than \$20 million for each of the three financial years prior to the lodgement of the application.

## Portfolio Services

164. To be eligible to apply for *Portfolio Services* only, *applicants* must:
- a) be an *Eligible Corporation* that is non tax-exempt and is registered for GST; or
  - b) an *Eligible Corporation* that is an incorporated trustee registered for GST acting for a trust; or
  - c) be a *Commercialisation Office* or *Eligible Partner Entity*; or
  - d) be an individual, partnership or trustee who agrees to form an *Eligible Corporation* that is non tax-exempt and is registered for GST before signing a *Deed of Services and Release*.

165. In addition, to be eligible to apply for *Portfolio Services* only, *applicants* must:

- a) have received *Commercialisation Guidance*; and
- b) have a combined annual turnover of less than \$20 million for each of the three financial years prior to the lodgement of the application; and
- c) have a *Commercialisation Strategy* that aims to achieve at least one of the following:
  - i. complete the development of a novel product, process or service; or
  - ii. prove commercial viability of a novel product, process or service; or
  - iii. expand commercialisation of its novel product, process or service in existing markets or into new markets; and
- d) have ownership, access to, or the beneficial use of, any intellectual property that is the subject of, or is necessary to carry out the *Commercialisation Strategy*; and
- e) submit an application to receive *Portfolio Services* for a period of 24 months or less; and
- f) submit an application that contains sufficient information to undertake a merit assessment.

166. Applications from *Commercialisation Offices* and *Eligible Partner Entities* are not required to satisfy clause 165(b).

167. In clause 165(b) the combined annual turnover must include the turnover of the *applicant* and of each *Related Body Corporate* (if any) at the time the *Programme Delegate* receives the application, except where the *applicant* is controlled by a *Publicly Funded Research Organisation* or *Eligible Partner Entity*, in which case the turnover of the *applicant* in isolation must be less than \$20 million for each of the three financial years prior to the lodgement of the application.

### ***Commercialisation Project***

168. A *Commercialisation Project* must aim to achieve at least one of the following:

- a) complete the development of a novel product, process or service; or
- b) prove commercial viability of a novel product, process or service; or
- c) make the first sales of a novel product, process or service in Australia or overseas; or
- d) guide the *applicant* towards commercialisation of its novel product, process or service.

169. The *Commercialisation Project* may cover activities at a specific stage of the commercialisation process, or cover the entire process from determining a commercialisation strategy to achieving first sales.
170. There is no minimum duration for a *Commercialisation Project* but the project must not exceed a maximum of 24 months.

## **Applications**

171. Applications for *Accelerating Commercialisation* may be lodged at any time during the life of the *Programme*.
172. *Application forms* for *Accelerating Commercialisation Grants* and *Portfolio Services* can be accessed by contacting *AusIndustry* through [business.gov.au](https://business.gov.au) or the contact centre on 13 28 46.
173. Applications for *Activities* under *Accelerating Commercialisation* will be assessed against the relevant eligibility criteria by the *Programme Delegate*.
174. A *Recipient* of an *Accelerating Commercialisation Grant* may apply for another *Accelerating Commercialisation Grant* for the next stage of their eligible *Commercialisation Project*, subject to the conditions outlined in the *Accelerating Commercialisation Customer Information Guide* published on [business.gov.au](https://business.gov.au). In this circumstance the *applicant* will not be entitled to receive *Commercialisation Guidance* for a second time.
175. Further information relating to the application process is provided in the *Accelerating Commercialisation Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## **Assessment Process**

176. Only applications for *Accelerating Commercialisation Grants* that are deemed to be *Eligible Applications* by the *Programme Delegate* under clauses 158 and 160-163 will proceed to the merit assessment stage.
177. Only applications for *Portfolio Services* that are deemed *Eligible Applications* by the *Programme Delegate* under clauses 158 and 164-165 will proceed to the merit assessment stage.
178. The *Department* will prepare a report on all *Eligible Applications* for *Accelerating Commercialisation Grants* and *Portfolio Services*, prior to merit assessment. Each report will include a due diligence report, undertaken by a *Commercialisation Adviser*, that investigates the claims made in the application against the merit criteria.

## Merit Criteria

179. Merit criteria for *Accelerating Commercialisation* are:

- a) Need for funding;
- b) Market opportunity;
- c) Value proposition;
- d) Execution plan;
- e) Management capability; and
- f) National benefits.

180. The merit criteria listed at clauses 179(b)-(f) are equally weighted.

181. In assessing the merit criteria, priority will be given to applications that have a *Commercialisation Project* or *Commercialisation Strategy* within one of the *Growth Sectors* through additional credit against the 'National benefits' merit criterion (clause 179(f)).

182. *Accelerating Commercialisation Grant* applications from *Commercialisation Offices* and *Eligible Partner Entities* are not required to satisfy the 'Need for funding' merit criterion (clause 179(a)).

183. Further guidance on the merit criteria is available through the *Accelerating Commercialisation Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## Accelerating Commercialisation Grant

184. The *Programme Delegate* will refer *Eligible Applications* for *Accelerating Commercialisation Grants* to *Innovation and Science Australia* for merit assessment and merit ranking.

185. *Eligible Applications* for an *Accelerating Commercialisation Grant* from *applicants* other than *Commercialisation Offices* and *Eligible Partner Entities* will firstly be assessed against the 'Need for funding' merit criterion (clause 179(a)) by *Innovation and Science Australia*.

- a) If found meritorious against the 'Need for funding' merit criterion (clause 179(a)) the application will be assessed on a competitive basis against the merit criteria listed in clauses 179(b)-(f) by *Innovation and Science Australia*.
- b) If not found meritorious against the 'Need for funding' merit criterion (clause 179(a)) the application will be rejected by the *Programme Delegate*.

186. Where merit assessments and merit rankings have been provided by *Innovation and Science Australia* to the *Programme Delegate*, the *Programme*

*Delegate* must take the merit assessments and merit rankings into account when deciding whether to approve an application.

187. Further guidance on the *Accelerating Commercialisation Grant* assessment process is available through the *Accelerating Commercialisation Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## **Portfolio Services**

188. *Eligible Applications* for *Portfolio Services* will undergo a non-competitive assessment against the merit criteria listed in clauses 179(b)-(f) by a panel of *Commercialisation Advisers*.
189. The *Programme Delegate* will take the panel's recommendations into account when deciding whether to approve an application for *Portfolio Services*.
190. Further guidance on the *Portfolio Services* assessment process is available through the *Accelerating Commercialisation Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## **Agreements**

191. To receive an *Accelerating Commercialisation Grant* the successful *applicant* will be required to enter into a *Funding Agreement* with the *Department*.
192. To receive *Portfolio Services* the successful *applicant* will be required to enter into a *Deed of Services and Release* or a *Funding Agreement* with the *Department*.
193. In addition to the requirements under Part 3 of the *Programme Guidelines*, any *Funding Agreement* or *Services Agreement* must:
- a) specify the type of support for the *Commercialisation Project* or *Commercialisation Strategy* to which the application relates, the timing, method and conditions of delivery of support; and
  - b) contain any other matters considered by the *Programme Delegate* as necessary for the administration of *Accelerating Commercialisation*.
194. *Funding Agreements* must specify the value of the *Grant* for the *Commercialisation Project* to which the application relates and the timing, method and conditions of the *Grant*.

## **Commercialisation Advisers**

195. The role of the *Commercialisation Advisers* may include, but is not limited to:
- a) providing guidance to *Participants* with respect to *Accelerating Commercialisation*;

- b) conducting due diligence that investigates the claims made against merit criteria in applications;
- c) developing and maintaining links with the *Industry Growth Centres*;
- d) consulting with the relevant *Industry Growth Centre* on relevant applications and other matters as required;
- e) guiding and assisting *Participants* through the commercialisation process including facilitating access to expertise, specialist advice and professional networks;
- f) assisting *Participants* in exploring alternative means of financing commercialisation activities;
- g) providing *Commercialisation Guidance*;
- h) *Programme* and *Portfolio* marketing and promotional activities;
- i) building the *Expert Network*;
- j) facilitating commercial opportunities between the *Portfolio* and the *Expert Network*; and
- k) undertaking other activities agreed by the *Programme Delegate*.



## Schedule D

### Northern Australia Tourism

#### **Introduction**

196. *Northern Australia Tourism* provides advice and facilitation services to improve the business capabilities and networks of *Northern Australia Tourism* businesses so that they can better capture growth opportunities.
197. *Northern Australia Tourism* was introduced to the *Programme* as part of the “Our North, Our Future: White Paper on Developing Northern Australia”.
198. *Northern Australia Tourism* is supported by *Industry Partners* and delivered through a national network of experienced *Business Advisers* and *Business Facilitators*.
199. *Northern Australia Tourism* commenced on 29 February 2016.

#### **Objective**

200. The objective of *Northern Australia Tourism* is to encourage and assist small and medium *Tourism Businesses* in *Northern Australia* to improve their capabilities, extend their networks and take advantage of growth opportunities.

#### **Outcomes**

201. Key outcomes from *Northern Australia Tourism* may include that:
- a) *Participants* improve their management skills;
  - b) *Participants* improve their business systems and processes;
  - c) *Participants* improve their ability to identify and leverage growth opportunities;
  - d) *Participants* extend their business networks to increase their market and supply chain participation; and
  - e) *Participants* improve their business performance.

#### **Activities**

202. *Applicants* can apply for one or more of the following *Northern Australia Tourism Activities: Business Evaluation, Tourism Partnerships, Supply Chain Facilitation, Growth Services* and *Growth Grant*.

#### **Business Evaluation for a *Tourism Business***

203. A *Business Evaluation* is a range of *Services* initially comprising an evaluation by a *Business Adviser* to tailor the *Service* to the *Participant's* needs, based on



the *Participant's* capacity, commitment and need to undertake significant improvements. Following this evaluation a *Participant* may receive one or more of the following:

- a) business improvement advice and referrals;
- b) a detailed analysis of its business by a *Business Adviser* and recommendations for improvement presented in a *Business Evaluation Action Plan*; and
- c) support for implementation of the *Business Evaluation Action Plan* with the assistance of a *Business Adviser*.

The *Services* provided to each *Participant* will be determined by the *Programme Delegate*, based on recommendations by the *Business Adviser*.

## **Tourism Partnerships**

204. *Tourism Partnerships* is a range of *Services* delivered to a group or consortium of *Participants* to facilitate and encourage joint activities for the benefit of the group or consortium (e.g. marketing and/or packaging of complementary products and services). A *Business Facilitator* will develop a *Tourism Partnership Plan* including recommendations for improvement for participating businesses.

## **Supply Chain Facilitation for a *Tourism Business***

205. *Supply Chain Facilitation* is a range of *Services* delivered to a *Participant* to facilitate access to supply chain opportunities in the tourism Sector. *Participants* may attend *Customer Connections* events or undertake a *Tourism Supplier Improvement Plan* to improve their capability in meeting supply requirements.

## **Growth Services for a *Tourism Business***

206. *Growth Services* is a range of *Services* that support a *Participant*, over a 24 month period, to achieve growth through strategic business improvements and connections. A *Business Adviser* conducts initial growth opportunity and capability analyses, develops a tailored and agreed *Growth Plan*, provides access to specialist *Business Advisers* and *Business Facilitators*, and brokers connections to experts and providers to assist the business to capitalise on its growth opportunities.

## **Growth Grant for a *Tourism Business***

207. A *Growth Grant* is a *Grant* that reimburses a *Participant* for up to half of the cost of engaging a consultant (up to a maximum *Grant* of \$20,000) to make

business improvements that were recommended in the *Business Evaluation Report, Supplier Improvement Plan, Growth Plan or Tourism Partnership Plan*.

## **Eligibility**

208. To be eligible for *Services* under *Northern Australia Tourism* an *applicant* must:

- a) be an *Eligible Corporation* that is non tax-exempt and is registered for GST;
- b) be located and/or have significant operations in *Northern Australia*;
- c) satisfy the criteria to be a *Tourism Business* (refer *Customer Information Guidelines* for Northern Australia Tourism Initiative);
- d) have an annual turnover or operating expenditure between \$750,000 and \$100 million;
- e) be solvent;
- f) have operated in Australia and filed business activity statements showing ongoing trading in at least three consecutive years<sup>3</sup>;
- g) satisfy the eligibility criteria specific to the relevant *Activity* (clauses 210-215); and
- h) not be named by the Workplace Gender Equality Agency as an organisation that has not complied with the *Workplace Gender Equality Act 2012 (Cth)*.

209. The following entities are **ineligible** to apply for *Northern Australia Tourism*:

- a) individuals;
- b) partnerships;
- c) trusts, except for trusts with trustees that are *Eligible Corporations*; and
- d) Commonwealth, State and Local Government agencies and bodies (including government business enterprises, federal, state/territory and local tourism bodies and regional tourism organisations).

## **Business Evaluation for a *Tourism Business***

210. To be eligible for a *Business Evaluation*, *applicants* must **not** have previously received a *Business Evaluation Report* or *Business Evaluation Action Plan*, in the last five years.

## Tourism Partnerships

211. Each member of the group or consortium must satisfy the eligibility criteria set out in clauses 208 and 209 to be eligible *Participants*. The group or consortium may apply for a *Growth Grant* via a lead business to facilitate and encourage eligible joint activities identified in the *Tourism Partnership Plan*. Being part of a group or consortium receiving a *Tourism Partnership Service* does not preclude the business from accessing an *Activity* in its own right.

## Supply Chain Facilitation for a *Tourism Business*

212. To be eligible to participate in a *Customer Connections* event, *applicants* must have completed, or be engaged in, a:

- a) *Business Evaluation, Tourism Partnership, Supply Chain Facilitation or Growth Services*; or
- b) *Business Review Report, Continuous Improvement Report or Continuous Improvement Plan* under the *Enterprise Connect* programme; or
- c) an equivalent service.

213. To be eligible to receive a *Supplier Improvement Plan*, *applicants* must **not** have previously received a *Supplier Improvement Plan*, or a *Continuous Improvement Plan* under the *Enterprise Connect* programme, in the last five years.

## Growth Services for a *Tourism Business*

214. To be eligible for *Growth Services*, *applicants* must not have previously received *Growth Services* or *Growth Services* in the last five years.

## Business Growth Grant for a *Tourism Business*

215. A *Growth Grant* can only fund activities directly related to the implementation of recommendations identified in a *Business Evaluation, Tourism Partnership Plan, Supplier Improvement Plan* or *Growth Plan*.

216. To be eligible for a *Growth Grant*, *applicants* must:

- a) apply for a *Growth Grant* within:
  - i. six months of receipt of a *Business Evaluation Report, Tourism Partnership Plan, Business Evaluation Action Plan* or *Supplier Improvement Plan*; or
  - ii. 24 months of receipt of a *Growth Plan*,

unless otherwise agreed by the *Programme Delegate*.

- b) provide a quote from two different consultants to implement part or all of the recommendations in the report or plan identified in clause 215, unless otherwise agreed by the *Programme Delegate*;
- c) demonstrate the preferred consultant is bringing new areas of expertise to the business;
- d) demonstrate the work related to the *Growth Grant* is not part of the ordinary operations of the business;
- e) demonstrate how the activities will build identified capabilities; and
- f) be able to fund the total value of the costs of engaging the consultant before receiving the *Grant* (which is worth half of the total value up to a maximum *Grant* of \$20,000).

## Applications

- 217. Applications for *Services* under *Northern Australia Tourism* may be lodged at any time during the life of the *Programme*.
- 218. Applications for *Growth Grants* must be made within the time period set out in clause 216 216.a).
- 219. Applications for *Activities* under *Northern Australia Tourism* will be assessed against the relevant eligibility criteria by the *Programme Delegate*.
- 220. Other than for *Growth Services*, *applicants* whose application is deemed to be an *Eligible Application* will receive the *Service* or *Grant* up to the limit of available funding and subject to revision, suspension or abolition of the *Activity*.
- 221. Applications for *Tourism Growth Services* will also undergo a merit assessment as outlined in clauses 223-226.
- 222. Information relating to the application process is provided in the relevant *Customer Information Guide* published on [business.gov.au](https://business.gov.au).

## Assessment Process

### Tourism Growth Services

- 223. Only applications for *Growth Services* that are deemed to be *Eligible Applications* will proceed to the merit assessment stage.
- 224. During the merit assessment stage, a *Business Adviser* will use evidence provided in the application and during an on-site meeting with the *applicant* to assess the *applicant* against the following equally weighted merit criteria:
  - a) Growth opportunity;
  - b) Growth commitment; and

- c) Resources and capacity to execute a growth plan.
225. The *Programme Delegate* will take the *Business Adviser's* assessment into account when deciding whether to approve an application for *Tourism Growth Services*.
226. Further guidance on the *Growth Services* assessment process is available through the *Growth Services Customer Information Guide* published on [business.gov.au](http://business.gov.au).

### ***Payment of Grants***

227. *Grants* will be paid in arrears following the completion of the *Growth Grant* activities and acquittal of associated costs.

### ***Business Advisers and Business Facilitators***

228. The role of the *Business Advisers* and *Business Facilitators* includes, but is not limited to:
- a) providing advice, mentoring and specialist expertise to *Participants*;
  - b) assisting *Participants* in developing their professional networks and providing connections;
  - c) fostering innovation, productivity, and continuous improvement in *Participants*;
  - d) alliance building between *Participants*;
  - e) mapping capability and connections for *Participants*;
  - f) providing recommendations to *Participants* to embed improvements in their business;
  - g) engaging specialists for provision of specialist services and advice;
  - h) understanding and drawing on knowledge from the *Industry Growth Centres*;
  - i) providing the *Department* with industry intelligence;
  - j) *Programme* marketing and promotional activities; and
  - k) undertaking other activities agreed by the *Programme Delegate*.

## Schedule E

# Incubator Support

### ***Introduction***

229. This schedule sets out the funding rules for the Incubator Support initiative (the initiative) for applicants. The initiative aligns with the requirements of the Commonwealth Grants Rules and Guidelines.<sup>4</sup>
230. The initiative was announced as part of the National Innovation and Science Agenda (NISA) in December 2015, and is a new element of the Entrepreneurs' Programme.
231. The Department of Industry, Innovation and Science (the department) is responsible for administering the initiative.
232. You may lodge applications for the Incubator Support initiative at any time during the life of the initiative.
233. You should read this document carefully before you fill out an application. Key terms used in these guidelines are defined in Appendix 1.

### ***Initiative overview***

234. The objective of the initiative is to assist New and Existing Incubators to:
- a) improve the prospects of Australian start-ups achieving commercial success in international markets by delivering a range of activities to Australian start-ups to develop the capabilities required to realise their economic potential in international markets faster than they otherwise would; and
  - b) develop Australia's innovation ecosystem including in Australian regions.
235. The initiative provides funding through two components to deliver Incubator Support projects, both of which require matched funding from applicants.
236. The first is support for New and Existing Incubators:
- a) to help develop new Incubators in regions or sectors with high potential for success in international trade, and
  - b) to boost the effectiveness of high performing Incubators, including funding support to expand their services and/or develop the innovation ecosystem

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<sup>4</sup> <http://www.finance.gov.au/resource-management/grants/>

237. The second is support for Expert-in-Residence:

- a) to organise and provide access to top quality research, managerial and technical talent through secondments of national or international expert advisers who will improve the chance of commercial success for start-ups in international markets.

238. The initiative's intended outcomes are to:

- a) support new Australian Incubators targeting innovative start-ups to assist them to trade internationally
- b) expand the scale and operations of existing Australian Incubators targeting innovative start-ups to increase their chances of success in international markets; and
- c) develop new innovative Australian start-ups with a focus on international markets.

239. If you apply for a New or Existing Incubator Support grant, we will assess your application against the eligibility criteria, merit criteria and other applications on a competitive basis.

240. If you apply for an Expert-in-Residence grant, we will assess your application against the eligibility criteria only. You only need to address the merit criteria if you apply for a New or Existing Incubator Support grant.

### ***Grant amount and grant period***

241. The grant amount will be up to 50 per cent of total Incubator Support Project Value as follows:

- a) a minimum grant amount of \$10,000 and a maximum grant amount of \$500,000 for New and Existing Incubators per project with a maximum grant period of 24 months.
- b) a minimum grant amount of \$1,000 and a maximum grant amount of \$25,000 for Expert-In-Residence per project with a maximum grant period of 12 months.



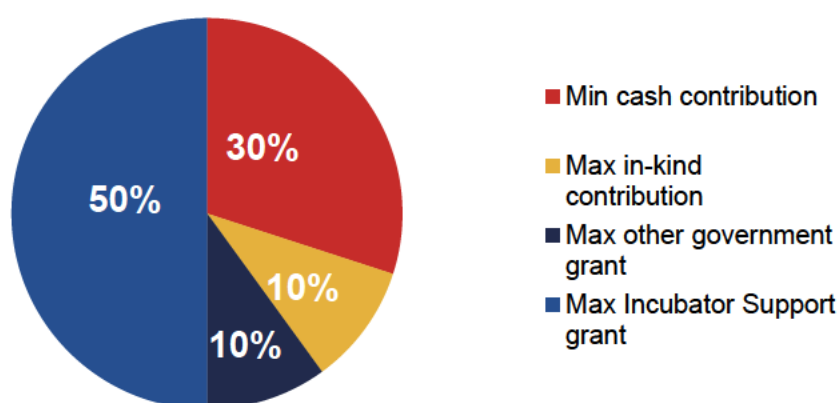


Figure 1: Limits to sources of funding as % of total project value

242. The limits for project funding contributions are outlined below.

- a) The Incubator Support grant can be up to a maximum of 50 per cent of the total project value.
- b) The cash contribution from the grantee must be a minimum of 30 per cent of the total project value.
- c) The in-kind contribution from grantee or other government sources can be up to a maximum of 10 per cent of the total project value. You will need to provide details of how you calculated the dollar value of any in-kind contributions.
- d) Other government sources can be up to a maximum of 10 per cent of your total project value. Government sources include Commonwealth, state, territory or local government. These contributions can be cash or in-kind. Where a contribution from another government source is in-kind it counts as both a contribution from another government source and an in-kind contribution.

### ***Eligibility criteria***

243. We cannot consider your application if you do not satisfy all eligibility criteria and will not waive any eligibility criteria under any circumstance.

### **Who is eligible?**

244. To be eligible for Incubator Support, applicants must:

- a) be an existing Incubator or establishing a new Incubator that can foster and facilitate the development of innovative start-ups focused on international trade; and
- b) have an Australian Business Number (ABN); and



- c) be one of the following:
  - i) an entity incorporated in Australia;
  - ii) an incorporated trustee on behalf of a trust;
  - iii) a not for profit organisation;
  - iv) a publicly funded research organisation (PFRO), excluding government departments or agencies which undertake publicly funded research; or
  - v) local government.
- 245. Joint applications from consortia are acceptable, provided you have a lead applicant who is the main driver of the project and is eligible as per the list above.
- 246. You can apply and be funded for up to two grants at the same time. You can apply for more than two grants only after you have finished one of the funded projects and have provided your final report.
- 247. You are not eligible to apply if you are:
  - a) an individual, partnership or trust (however, an incorporated trustee may apply on behalf of a trust)
  - b) a Commonwealth or state government agency or body (including PFROs and government business enterprises).
- 248. To be eligible you must be able to provide the following:
  - a) trust deed (where applicable)
  - b) for New and Existing Incubators applications - evidence from your organisation's Board (or support from the Chief Executive Officer or director, if there is no Board) that the project is supported, and that the applicant can complete the project and meet the costs of the project not covered by grant funding
  - c) for Expert-In-Residence applications - resumes outlining the experience and capabilities of the expert/s.

## **Eligible projects**

- 249. To be eligible your project must:
  - a) include eligible activities and eligible expenditure
  - b) have a total project value of at least \$20,000 for New and Existing Incubators per project
  - c) have a total project value of at least \$2,000 for Expert-In-Residence per project.

## Eligible activities

250. Incubator Support will fund activities undertaken by Incubators that improve the prospects of Australian start-ups achieving commercial success in international markets. This would be achieved through Incubators assisting Australian start-ups (as determined by the Incubator) to develop the capabilities required to realise their economic potential in international markets faster than they otherwise would.

251. Eligible activities must:

- a) assist Australian start-ups to develop the capabilities required to achieve commercial success in international markets;
- b) support innovative start-ups focused on international markets to realise their economic potential faster than they otherwise would; and
- c) directly contribute to the initiative's objectives and directly relate to the project.

252. Eligible activities can include the following activities.

### *For New and Existing Incubators*

253. Examples of eligible activities include but are not limited to Incubators:

- a) expanding mentor networks to new mentors with national or international expertise;
- b) providing or facilitating access for innovative start-ups to new resources (such as purchase of technical equipment) to promote or facilitate international trade;
- c) providing or facilitating access for innovative start-ups to new knowledge (such as customer acquisition and/ or business development methods) to promote or facilitate international trade; and
- d) facilitating innovative start-ups' access to new international networks (e.g. investors, customers peer firms).

254. This is not an exhaustive list of eligible activities for the new and existing Incubators component. The Programme Delegate makes the final decision on whether an activity is eligible. For more information contact us at [business.gov.au](http://business.gov.au) or call the contact centre on 13 28 46.

### *For Expert-in-Residence*

255. Examples of eligible activities include but are not limited to

- a) a workshop where an expert gives advice on developing business activities, for example in international markets; and

- b) engaging a national or international expert (with knowledge in start-up related technology and international experience) to assist start-ups address key challenges during an Incubator program.

256. This is not an exhaustive list of eligible activities for the Expert-In-Residence component. The Programme Delegate makes the final decision on whether an activity is eligible. For more information contact us at [business.gov.au](http://business.gov.au) or call the contact centre on 13 28 46.

### **Eligible and ineligible expenditure**

257. You can only spend grant funds on eligible expenditure you have incurred on an agreed project as defined in the grant agreement. You may start your project from the date that we notify you that your application is eligible and complete. If you choose to start your project before you enter into a grant agreement with the Commonwealth, you do so at your own risk.

258. You will need to provide details and costs of all in-kind contributions. In-kind contributions must directly relate to the cost of delivering the project activities.

- a) For guidelines on eligible expenditure, see Appendix 2.
- b) For a list of ineligible expenditure, see Appendix 3.
- c) For guidelines on allowable in-kind contributions, see Appendix 4.

259. We may update the guidelines on eligible expenditure from time to time. If your application is successful, the version in place when your grant agreement is signed (by both the Commonwealth and you) will be the version that applies to your project.

### ***The merit criteria you need to address (For New and Existing Incubators)***

260. To be competitive, you will need to address all the merit criteria in your application. We will assess your application against each merit criterion using the weighting indicated. The application form asks questions that relate to the merit criteria below. The amount of detail and supporting evidence you provide in your application should be relative to the project size, complexity and funding amount requested. Word limits are displayed on the application form.

### **Merit criterion 1 – Management and Business Capability (40 points)**

261. Demonstrate your ability to assist Australian start-ups to develop the capabilities required to succeed in international markets.

- a) Describe key personnel:
  - i) time commitment to Incubator;

- ii) evidence of national or global entrepreneurship and commercialisation experience;
  - iii) evidence of linkages to international innovation ecosystems;
  - iv) community management skills; and
  - v) evidence of investment attraction into start-ups;
- b) What is the track record of your organisation or team? Provide examples of start-ups previously supported, including evidence that these are bringing new-to-market or new-to-world innovative products and services to markets outside Australia.
262. Describe the operating model of your Incubator and how you can foster the development of innovative start-ups in international markets.
- a) Describe how you will leverage your networks to deliver services and opportunities to start-ups – give evidence of linkages, agreements, support from other players in the innovation ecosystem.
  - b) Describe the services that you provide, which could include:
    - i) seed funding
    - ii) co-location
    - iii) structured programme
    - iv) mentoring
    - v) cohort-based entry and exit
    - vi) professional services
    - vii) networking events.
  - c) Describe how you will fund ongoing operations after the grant ends. For example:
    - i) If you are an existing incubator, provide evidence of your current funding model
    - ii) If you are establishing a new incubator, provide evidence of your proposed funding model. This may include:
      - a letter of support from potential corporate or government sponsors
      - evidence of demand and willingness to pay for a co-working space.

**Merit criterion 2 – Expected impact and benefits of the project (50 points)**

263. Describe the distinct value proposition of your incubator. Outline the gap in the market that your project will address and describe how your project will address this gap in terms of two or more of the following outcomes:

- a) improving the commercial prospects of innovative start-ups in international markets
- b) developing Australia's innovation ecosystem so that innovative start-ups can thrive and flourish in international markets, by supporting Incubators including in the development of clusters, focussed on new regions, sectors or linked with universities
- c) developing the capability of Incubators to facilitate and foster innovative start-ups with the potential to operate in international markets
- d) in regional Australian communities, developing new incubators capabilities to support innovative, internationally focussed start-ups.

**Merit criterion 3 – Value for money (10 points)**

264. Will the project go ahead without the grant? Explain how the grant will impact the project in terms of size, timing and reach?

265. What is the total level of your contributions to the project? Include all cash and in-kind contributions. Explain why any in-kind contributions are integral to achieving project outcomes. Justify how you calculated the dollar value of any in-kind contributions.

***How to apply***

266. Before applying you should read and understand these Programme Guidelines, and the grant agreement. View the grant agreement at [business.gov.au](http://business.gov.au).

267. You can submit an application at any time.

268. To apply, you must:

- a) complete the online Incubator Support Initiative application form on [business.gov.au](http://business.gov.au)
- b) provide all the information that is needed for us to assess your application
- c) address all eligibility and merit criteria, ensuring each requirement has been considered
- d) ensure all attachments are included

269. When you submit your online application we will provide you with an automated receipt number and a link. The link goes to a page where you can enter your email address to receive acknowledgment and a copy of your complete application.
270. You are responsible for making sure your application is complete and accurate. Giving false or misleading information is a serious offence under the *Criminal Code 1995* (Cth). We will investigate false or misleading information and may stop your application from being considered for the grant. If you find an error in your application after submitting it you should phone us immediately on 13 28 46.
271. If we find an error or information that is missing we may ask for clarification or additional information from you. This should not change the nature of your application. However we can also refuse any additional information, or requests to change submissions from you after the application closing time.
272. If you need further guidance around the application process or if you are unable to submit an application online contact us at [business.gov.au](mailto:business.gov.au) or call the contact centre on 13 28 46.

### **Attachments to the application**

273. The following documents are required with your application:
- a) trust deed (where applicable)
  - b) for New and Existing Incubators applications - evidence from your organisation's Board (or support from the Chief Executive Officer or director, if there is no Board) that the project is supported, and that the applicant can complete the project and meet the costs of the project not covered by grant funding.
  - c) for Expert-In-Residence applications - a resume outlining the experience and capabilities of the expert/s.
274. You must attach supporting documentation to the application form in line with the instructions provided within the form.

### **Applications from consortia**

275. We recognise that some organisations may want to join together as a group to form consortia to deliver activities. If you are submitting a joint application for funding or submitting an application on behalf of a consortium, you must appoint a lead entity. Only the lead entity will enter into, and be responsible for the grant agreement with the Commonwealth. The lead entity must complete the application form and identify all other members of the proposed consortium in their application. The application should also include a letter of support from

each of the additional organisations involved in the proposal. Each letter of support should include:

- a) details of the additional entity
- b) an overview of how the organisation will work with the lead entity and any other consortium members to successfully complete the grant activity/ project
- c) an outline of the relevant experience and/ or expertise the organisation will bring to the consortium
- d) the roles/ responsibilities the organisation will undertake, and the resources it will contribute (if any)
- e) details of a nominated management level contact officer.

### ***How we assess your application (selection process)***

276. AusIndustry will assess applications for New and Existing Incubators against the eligibility criteria. Only eligible applications will proceed to the merit assessment stage.
277. We will refer eligible New and Existing Incubator applications to Innovation and Science Australia for assessment. Innovation and Science Australia may seek input from external advisors to inform their assessment process. Innovation and Science Australia will assess your application against the merit criteria and compare it to other eligible applications. Innovation and Science Australia will give your application a score out of 100.
278. While all applications are assessed against the same merit criteria, Innovation and Science Australia will score your application relative to the project size, complexity and grant amount requested. Larger and more complex projects should include more detailed evidence.
279. After considering your application, Innovation and Science Australia will make recommendations to the Minister on which applications are suitable for funding. To be recommended as suitable for funding, your application must score highly against each merit criterion.
280. AusIndustry will assess Expert in Residence applications against the eligibility criteria and will refer applications to the Programme Delegate to make the final decision.
281. For all applications, if the selection process identifies unintentional errors in your application, we may contact you to correct or clarify the errors, but you cannot make any material alteration or addition.

## Final decision

282. The Minister decides which New and Existing Incubator grants to approve, taking into account Innovation and Science Australia's recommendations and the availability of grant funds. The Programme Delegate decides which Expert in Residence Incubator grants to approve, taking into account the availability of grant funds. The Programme Delegate is the AusIndustry general manager who is responsible for administering the initiative.
283. If you are successful, you will receive a written offer. If you are unsuccessful, we will notify you in writing and give you an opportunity to discuss the outcome with us. You can submit a new application for the same project (or a similar project) in the future. You should include new or more information to address the weaknesses identified in your previous application. If a new application is substantially the same as a previous ineligible or unsuccessful application we may refuse to accept it for merit assessment.
284. The Minister and Programme Delegate's decisions are final in all matters, including:
- a) the approval of applications for funding;
  - b) the size of funding to be awarded; and
  - c) the terms and conditions of funding.
285. The Minister and Programme Delegate must not approve funding if they reasonably consider the programme funding available across financial years will not accommodate the funding offer.
286. We cannot review decisions.

## ***If your application is successful***

### Grant agreement

287. You must enter into a grant agreement with the Department of Industry, Innovation and Science, acting on behalf of the Commonwealth. A sample grant agreement is available on [business.gov.au](http://business.gov.au).
288. For New and Existing Incubator projects, you will have 30 days from the date of offer to execute a grant agreement with the Commonwealth ('execute' means both you and the Commonwealth have signed the agreement). During this time we will work with you to finalise details. We may withdraw the offer if both parties do not execute the grant agreement within this time. Under certain circumstances we may extend this period.
289. For Expert in Residence projects, your application together with the details in your letter of approval will form the grant agreement.



290. We will not make any grant payments until there is an executed grant agreement in place. We are not responsible for any of your project expenditure until a grant agreement is in place. You may start your project from the date that we notify you that your application is eligible and complete. If you choose to start your project before you have an executed grant agreement, you do so at your own risk.
291. The funding approval may have specific conditions as a result of the assessment process or other considerations made by the Programme Delegate or Minister. We will identify these in the offer of funding.
292. You will have up to 24 months from the project start date to complete New and Existing Incubator projects. You will have up to 12 months from the project start date to complete Expert in Residence projects. The project end date is when you have finished all project activities and milestones as stated in the grant agreement.
293. The Commonwealth may recover grant funds if there is a breach of the grant agreement.

### **How the grant will be paid**

294. The grant agreement will state the:
- a) maximum grant amount to be paid; and
  - b) ratio of costs covered by the grant (grant ratio).
295. We will not exceed the maximum grant amount under any circumstances. If you incur extra eligible expenditure, you must meet it yourself.
296. For New and Existing Incubator projects:
- a) For projects that are less than 12 months we will pay 80 per cent of the grant on execution of the grant agreement (signed by both parties).
  - b) For projects that are more than 12 months we will pay 50 per cent of the grant on execution of the grant agreement (signed by both parties); 30 per cent of the grant amount will be paid on achievement of milestones,
  - c) We will set aside the remaining 20 per cent of the total grant funding for the final payment. We will pay this when you submit a satisfactory final report.
  - d) You must provide a final report within four weeks of completing the project.
297. For Expert-in-Residence projects:
- a) We will pay 100 per cent of the grant amount on execution of the grant agreement. You must provide a final report within four weeks of completing the project.

## How we monitor your project

298. You must submit progress reports in line with the grant agreement. You will need to report on:
- a) progress against agreed project milestones;
  - b) contributions of participants directly related to the project; and
  - c) eligible expenditure of grant funds.
299. The amount of detail you provide in your reports should be relative to the project size, complexity and grant amount. We will provide you with templates during the grant agreement process.
300. We will monitor the progress of your project by assessing reports you submit.
301. Progress reports must:
- a) include the evidence that has been agreed on;
  - b) show the total eligible expenditure incurred to achieve the milestone; and
  - c) be submitted within four weeks of completing a milestone (you can submit reports ahead of time if you have completed the milestone).
302. You will need to submit a report to us as detailed in your grant agreement. We will assess your report and may conduct site visits if necessary.

## Project variations

303. We recognise that unexpected events may affect project progress. In these circumstances, you can request a project variation, including:
- a) changing project milestones;
  - b) extending the timeframe for completing the project but within the maximum 12 or 24 months allowed in Programme Guidelines; and/or
  - c) changing project activities.
304. Note the initiative does not allow for an increase to the agreed amount of grant funds
305. If you want to propose changes to the grant agreement, you must put them in writing before the grant agreement end date.
306. We will not consider changes after the grant agreement end date.
307. If a delay in the project causes milestone achievement and payment dates to move to a different financial year, you will need a variation to the grant agreement. We can only move funds between financial years if there is enough funding in the relevant year to allow for the revised payment schedule.

308. You should not assume that a variation request will be successful. We will consider your request based on factors such as:

- a) how it impacts the project outcome;
- b) consistency with the programme policy objective and any relevant policies of the department;
- c) changes to the timing of grant payments; and
- d) availability of programme funds.

## Appendix 1: Glossary of Terms

The following definitions apply for the purpose of interpreting the *Programme Guidelines*. They are not intended to be a substitute for the defined terms in any *Deed of Services and Release* or *Funding Agreement*.

|                                               |                                                                                                                                                                                                                                                                                                                                                        |
|-----------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b><i>Accelerating Commercialisation</i></b>  | The <i>Element</i> described in Schedule C of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                        |
| <b><i>Activity or Activities</i></b>          | The <i>Services</i> and <i>Grants</i> listed in Schedule A (clause 93), Schedule B (clause 127), Schedule C (clause 151), Schedule D (clause 202) and Schedule E (clauses 236 and 237) for which <i>applicants</i> may apply.                                                                                                                          |
| <b><i>Applicant</i></b>                       | An entity that submits an application for a <i>Service</i> or <i>Grant</i> delivered under the <i>Programme</i> .                                                                                                                                                                                                                                      |
| <b><i>Application Form</i></b>                | The document issued by the <i>Programme Delegate</i> that <i>Applicants</i> use to apply for funding under the <i>Programme</i> .                                                                                                                                                                                                                      |
| <b><i>AusIndustry</i></b>                     | The division of the same name within the <i>Department</i> .                                                                                                                                                                                                                                                                                           |
| <b><i>Business Adviser</i></b>                | A skilled adviser with private sector experience and access to an array of industry resources engaged by <i>Industry Partners</i> to assist in the delivery of <i>Business Management</i> as described in clause 120 of Schedule A and <i>Northern Australia Tourism</i> as described in clause 228 of Schedule D of the <i>Programme Guidelines</i> . |
| <b><i>Business Evaluation</i></b>             | The <i>Service</i> described in clause 96 of Schedule A of the <i>Programme Guidelines</i> and the <i>Service</i> described in clause 203 of Schedule D of the <i>Programme Guidelines</i> .                                                                                                                                                           |
| <b><i>Business Evaluation Action Plan</i></b> | An action plan that may be provided to a <i>Participant</i> during a <i>Business Evaluation</i> that provides analyses, findings and recommendations for implementing improvements, some of which may be supported through a <i>Business Growth Grant</i> .                                                                                            |
| <b><i>Business Evaluation Report</i></b>      | A report provided to the businesses at the completion of a <i>Business Evaluation</i> .                                                                                                                                                                                                                                                                |

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| <b><i>Business Facilitator</i></b>          | An industry skilled professional who works with business to facilitate networks, and is engaged by <i>Industry Partners</i> to assist in the delivery of <i>Business Management</i> as described in clause 120 of Schedule A and in clause 2286 of Schedule D of the <i>Programme Guidelines</i> . |
| <b><i>Business Growth Grant</i></b>         | The <i>Grant</i> described in clause 99 of Schedule A of the <i>Programme Guidelines</i> and the <i>Grant</i> described in clause 207 of Schedule D of the <i>Programme Guidelines</i> .                                                                                                           |
| <b><i>Business Management</i></b>           | The <i>Element</i> described in Schedule A of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                    |
| <b><i>Business Researcher Placement</i></b> | The placement of one of the <i>Participants'</i> own research employees into a <i>Publicly Funded Research Organisation</i> to work collaboratively on a specific <i>Innovation Connections Project</i> and/or access research infrastructure.                                                     |
| <b><i>Business Review Report</i></b>        | A report provided to the business following the delivery of services under the <i>Enterprise Connect</i> programme that documents the findings and recommendations of a business review.                                                                                                           |
| <b><i>Commercialisation Adviser</i></b>     | A skilled adviser with private sector experience and access to an array of industry resources engaged by the <i>Department</i> to assist in the delivery of <i>Accelerating Commercialisation</i> as described in clause 195 of Schedule C of the <i>Programme Guidelines</i> .                    |
| <b><i>Commercialisation Australia</i></b>   | A closed Australian Government programme.                                                                                                                                                                                                                                                          |
| <b><i>Commercialisation Guidance</i></b>    | The <i>Service</i> described in clause 152 of Schedule C of the <i>Programme Guidelines</i> .                                                                                                                                                                                                      |
| <b><i>Commercialisation Office</i></b>      | An entity of a <i>Publicly Funded Research Organisation</i> , or an <i>Eligible Corporation</i> controlled by one or more <i>Publicly Funded Research Organisations</i> , that assists researchers in commercialising their intellectual property.                                                 |

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| <b>Commercialisation Project</b>     | A project which aims to commercialise novel intellectual property in the form of a novel product, process or service and satisfies clauses 1686-170.                                                                                                                                                                                                                                                                      |
| <b>Commercialisation Strategy</b>    | A business plan in relation to the commercialisation of a novel product, process or service.                                                                                                                                                                                                                                                                                                                              |
| <b>Confidential Information</b>      | Has the meaning given to that term in clause 52 of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                      |
| <b>Conflict of Interest</b>          | The exercise of a power or making of a decision by a person in a way that may be, or may be perceived to be, influenced by either a material personal interest (whether financial or non-financial) or a material personal association.                                                                                                                                                                                   |
| <b>Continuous Improvement Report</b> | A report provided to the business following the delivery of services under the <i>Enterprise Connect</i> programme that documents the findings and the agreed prioritised action plan.                                                                                                                                                                                                                                    |
| <b>Continuous Improvement Plan</b>   | A report provided to the business following the delivery of services under the <i>Enterprise Connect</i> programme that documents the findings and the agreed prioritised action plan for continuous improvement.                                                                                                                                                                                                         |
| <b>Customer Connections</b>          | A <i>Service</i> provided under <i>Supply Chain Facilitation</i> which provides engagement events for small and medium businesses to connect with supply chain partners as described in clause 103 of Schedule A and in clause 212 of Schedule D of the <i>Programme Guidelines</i> .                                                                                                                                     |
| <b>Customer Information Guide</b>    | <p>A document that provides prospective applicants with information on a <i>Service</i> or <i>Grant</i> including:</p> <ul style="list-style-type: none"> <li>• what is provided within the <i>Service</i> or <i>Grant</i></li> <li>• eligibility</li> <li>• how to apply</li> <li>• the obligations of successful <i>Applicants</i></li> <li>• the indicators of merit for some or all of the merit criteria.</li> </ul> |

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| <b>Deed of Services and Release</b> | A deed entered into by a <i>Participant</i> and the <i>Department</i> in relation to <i>Services</i> under the <i>Accelerating Commercialisation</i> (excludes <i>Funding Agreements</i> ).                                                                                                                                                                                                                                                                                    |
| <b>Department</b>                   | The Commonwealth of Australia as represented by the Department of Industry, Innovation and Science.                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Element</b>                      | A subset of the <i>Programme</i> under which <i>Activities</i> are categorised being <i>Business Management</i> , <i>Innovation Connections</i> , <i>Accelerating Commercialisation</i> and <i>Incubator Support</i> .                                                                                                                                                                                                                                                         |
| <b>Eligible Activities</b>          | The activities undertaken by a <i>Grantee</i> in relation to an <i>Incubator Support Project</i> that are eligible for funding support. This is decided by the <i>Programme Delegate</i> in accordance with these <i>Programme Guidelines</i> and the <i>Grant Agreement</i> .                                                                                                                                                                                                 |
| <b>Eligible Application</b>         | An application that meets the requirements of clauses 100-107 for <i>Business Management</i> , clauses 131-134 for <i>Innovation Connections</i> , clauses 158-167 for <i>Accelerating Commercialisation</i> , clauses 206-214 for <i>Northern Australia Tourism</i> , or clauses 241-254 for <i>Incubator Support</i> .                                                                                                                                                       |
| <b>Eligible Corporation</b>         | <p>A corporation incorporated under the <i>Corporations Act 2001 (Cth)</i> will be an 'eligible corporation' for the purposes of the <i>Programme</i> if its trading activities:</p> <ul style="list-style-type: none"> <li>a) form a sufficiently significant proportion of its overall activities as to merit it being described as a trading corporation; or</li> <li>b) are a substantial and not merely peripheral activity of the corporation.</li> </ul>                |
| <b>Eligible Expenditure</b>         | <p>Expenditure incurred directly on an agreed project or on agreed activities as detailed in the relevant <i>Funding Agreement</i>.</p> <p>For the <i>Accelerating Commercialisation Element</i> eligible expenditure is defined in the <i>Accelerating Commercialisation Customer Information Guide</i>.</p> <p>For the <i>Incubator Support Element</i> eligible expenditure is defined in Appendix 2 – Guidelines on eligible expenditure for Incubator Support grants.</p> |

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| <b>Eligible Partner Entity</b>                 | An <i>Eligible Corporation</i> whose primary purpose is research but also looks to commercialise the resultant intellectual property, and whose application for registration as an <i>Eligible Partner Entity</i> has been approved by the <i>Programme Delegate</i> .                                                                                                                                                               |
| <b>Enabling Technologies and Services</b>      | Entities that provide enabling or supporting technologies, inputs or services to drive business growth or improve business competitiveness in one or more of the five <i>Growth Sectors</i> . Detailed guidance on <i>Enabling Technologies and Services</i> is outlined in each of the <i>Business Management</i> and <i>Innovation Connections Customer Information Guides</i> .                                                   |
| <b>Enterprise Connect</b>                      | A closed Commonwealth Government programme.                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Entrepreneurs' Programme</b>                | A Commonwealth Government programme that provides a framework through which the government will drive business growth and competitiveness by supporting business improvement and research connections in targeted <i>Growth Sectors</i> and the commercialisation of novel products, processes and services.<br><br>The <i>Entrepreneurs' Programme</i> was previously known as the <i>Entrepreneurs' Infrastructure Programme</i> . |
| <b>Entrepreneurs' Infrastructure Programme</b> | Previous name of the <i>Entrepreneurs' Programme</i> .                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Expert Network</b>                          | A network of experienced people able to offer knowledge, skills and insights on an honorary basis to commercialise novel intellectual property in the form of new products, processes and/or services.                                                                                                                                                                                                                               |
| <b>Funding Agreement</b>                       | A legally binding agreement between the <i>Department</i> and a <i>Recipient</i> . Also referred to as a <i>Grant Agreement</i> .                                                                                                                                                                                                                                                                                                    |
| <b>Government Grant Sources</b>                | Sources that include, but are not limited to, grants from Commonwealth, state, local and international government programmes.                                                                                                                                                                                                                                                                                                        |



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| <b>Graduate Placement</b>           | The engagement of a graduate or post graduate into the business of the <i>Participant</i> to undertake a specific <i>Innovation Connections Project</i> which may be undertaken collaboratively with a <i>Publicly Funded Research Organisation</i> .                                                    |
| <b>Grant</b>                        | The funds provided by the <i>Department</i> to the <i>Recipient</i> as set out in a <i>Funding Agreement</i> under the <i>Programme</i> .                                                                                                                                                                |
| <b>Grant Agreement</b>              | See definition of <i>Funding Agreement</i> .                                                                                                                                                                                                                                                             |
| <b>Grantee</b>                      | An entity that has been offered funding and has entered into a <i>Grant Agreement</i> with the Commonwealth in relation to the programme. See also <i>Recipient</i> .                                                                                                                                    |
| <b>Growth Plan</b>                  | A report provided to the business following the facilitation of <i>Growth Services</i> that documents the findings and the agreed prioritised action plan for growth.                                                                                                                                    |
| <b>Growth Sectors</b>               | Priority industry sectors: Advanced Manufacturing; Food and Agribusiness; Medical Technologies and Pharmaceuticals; Mining Equipment, Technology and Services; and Oil, Gas and Energy Resources. Detailed guidance on the <i>Growth Sectors</i> is outlined in the <i>Customer Information Guides</i> . |
| <b>Growth Services</b>              | The <i>Service</i> described in clause 98 of Schedule A of the <i>Programme Guidelines</i> and the <i>Service</i> described in clause 206 of Schedule D of the <i>Programme Guidelines</i> .                                                                                                             |
| <b>Incubator</b>                    | A business support organisation that fosters innovative start-ups, focused on international trade, through the provision of services such as seed funding, colocation, mentoring, professional services and access to networks. It can include accelerators and germinators.                             |
| <b>Incubator Support Initiative</b> | The <i>Element</i> described in Schedule E of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                          |
| <b>Incubator Support Project</b>    | A project described in an application for an <i>Incubator Support Grant</i> . All subsequent mentions of project in Schedule E refer to an <i>Incubator Support Project</i> .                                                                                                                            |

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| <b><i>Incubator Support Project Value</i></b>     | The total <i>Eligible Expenditure</i> incurred by an <i>Incubator Support Grantee</i> on a project and the total allowable in kind contributions on the same project.                                                                                                                                                                                                                                                                                                                                                                  |
| <b><i>Industry Growth Centre</i></b>              | A not-for-profit company limited by guarantee responsible for delivering the Industry Growth Centres Initiative and established in <i>Growth Sectors</i> .                                                                                                                                                                                                                                                                                                                                                                             |
| <b><i>Industry Partner</i></b>                    | An organisation engaged by the <i>Department</i> under a contract for services to deliver <i>Services</i> under <i>Business Management</i> and <i>Innovation Connections</i> .                                                                                                                                                                                                                                                                                                                                                         |
| <b><i>Industry Sector Director</i></b>            | Specified personnel contracted to provide assistance and advice to the Programme Delegate in relation to the delivery of the Business Management element of the Programme.                                                                                                                                                                                                                                                                                                                                                             |
| <b><i>Innovation and Science Australia</i></b>    | The statutory board established by the Industry, Research and Development Act 1986 (Cth) (the Act) and named in that Act as Innovation Australia (as at the date these Guidelines were made). Innovation and Science Australia will provide strategic direction and assist with the administration of the Australian Government's industry research and development, innovation and venture capital programs designed to promote the development, and improve the efficiency and international competitiveness of Australian industry. |
| <b><i>Innovation Connections</i></b>              | The <i>Element</i> described in Schedule B of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b><i>Innovation Connections Facilitation</i></b> | The <i>Service</i> described in clause 128 of Schedule B of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b><i>Innovation Connections Grant</i></b>        | The <i>Grant</i> described in clause 130 of Schedule B of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b><i>Innovation Connections Project</i></b>      | A project which incorporates recommendations from an <i>Innovation Facilitation Report</i> and which may be supported by an <i>Innovation Connections Grant</i> .                                                                                                                                                                                                                                                                                                                                                                      |

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| <b><i>Innovation ecosystem</i></b>           | An open network of organisations that interact with each other and operate within framework conditions that regulate their activities and interactions. The three components of the innovation ecosystem – networks, innovation activities and framework conditions – collectively function to produce and diffuse innovations that have, in aggregate social or economic value. |
| <b><i>Innovation Facilitation Report</i></b> | A report provided to the business at the completion of the <i>Innovation Connections Facilitation</i> that documents the findings and recommendations of the <i>Innovation Connections Facilitation</i> .                                                                                                                                                                        |
| <b><i>Innovation Facilitators</i></b>        | An industry skilled professional who works with business, and is engaged by <i>Industry Partners</i> to provide practical advice and then facilitate access to the most appropriate research, knowledge or technical expertise in the delivery of <i>Innovation Connections</i> as described in clause 144 of Schedule B of the <i>Programme Guidelines</i> .                    |
| <b><i>Innovation potential</i></b>           | The capacity of an <i>innovation ecosystem</i> to support innovative start-ups, focused on international trade based on its unique conditions and circumstances.                                                                                                                                                                                                                 |
| <b><i>Minister</i></b>                       | The Australian Government minister with portfolio responsibility for the <i>Programme</i> .                                                                                                                                                                                                                                                                                      |
| <b><i>Northern Australia</i></b>             | All of the Northern Territory and those parts of Western Australia and Queensland above the Tropic of Capricorn. As defined in the <i>Our North, Our Future: White Paper on Developing Northern Australia</i> , July 2015.                                                                                                                                                       |
| <b><i>Northern Australia Tourism</i></b>     | Schedule D of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                  |
| <b><i>Participant</i></b>                    | An entity that receives a <i>Service</i> or is the <i>Recipient</i> of a <i>Grant</i> .                                                                                                                                                                                                                                                                                          |
| <b><i>Personal Information</i></b>           | Has the meaning given to that term in clause 48 of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                             |

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| <b>Portfolio</b>                             | The mechanism described in clause 156 of Schedule C of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Portfolio Services</b>                    | The <i>Services</i> described in clause 155 of Schedule C of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Programme</b>                             | The <i>Entrepreneurs' Programme</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Programme Delegate</b>                    | An official of the <i>Department</i> , appointed to carry out specific functions for the <i>Programme</i> as outlined in clauses 22-25 of these <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                    |
| <b>Programme Guidelines</b>                  | These guidelines that the <i>Minister</i> gives to the <i>Department</i> to provide a framework to operate and administer the <i>Programme</i> , as in force from time to time.                                                                                                                                                                                                                                                                                                                  |
| <b>Publicly Funded Research Organisation</b> | All higher education providers listed at Table A and Table B of the <i>Higher Education Support Act 2003 (Cth)</i> as well as Commonwealth, state and territory government departments or agencies which undertake publicly funded research. This includes, but is not limited to, Commonwealth Scientific and Industrial Research Organisation, Defence Science and Technology Organisation, Australian Institute of Marine Science and Australian Nuclear Science and Technology Organisation. |
| <b>Recipient</b>                             | The entity which enters into a <i>Funding Agreement</i> with the <i>Department</i> and receives payment of a <i>Grant</i> under the <i>Programme</i> . See also <i>Grantee</i> .                                                                                                                                                                                                                                                                                                                 |
| <b>Region</b>                                | A geographic area with definable characteristics.                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Related Body Corporate</b>                | Has the same meaning as in section 50 of the <i>Corporations Act 2001 (Cth)</i> .                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Remote Australia</b>                      | As defined by the Australian Bureau of Statistics Remoteness Classification 2006, see the <a href="#">ABS Remoteness Structure</a> for more information.                                                                                                                                                                                                                                                                                                                                         |

|                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Research Connections</b>              | <i>Research Connections</i> commenced on 1 September 2014 and was expanded and relaunched as <i>Innovation Connections</i> as described in Schedule B of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                             |
| <b>Research Connections Facilitation</b> | The <i>Service</i> described in clause 128 of Schedule B of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Research Connections Grant</b>        | The <i>Grant</i> provided under the former <i>Research Connections</i> .                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Research Connections Project</b>      | A project which incorporates recommendations in a <i>Research Facilitation Report</i> and is supported by a <i>Research Connections Grant</i> .                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Research Facilitation Report</b>      | A report provided to the business at the completion of the <i>Research Connections Facilitation</i> that documents the findings and recommendations of the <i>Research Connections Facilitation</i> .                                                                                                                                                                                                                                                                                                                                                  |
| <b>Researcher</b>                        | An employee of a <i>Publicly Funded Research Organisation</i> employed as a researcher or enrolled as a Higher Degree by Research student.                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Researcher Placement</b>              | <p>The placement of a <i>Researcher</i> in the <i>Participant's</i> business to work collaboratively on a specific <i>Innovation Connections Project</i> in order to develop and implement a new idea with commercial potential which may involve:</p> <ul style="list-style-type: none"> <li>a) the engagement of a <i>Publicly Funded Research Organisation</i> to undertake research activities on the business's behalf; or</li> <li>b) accessing research infrastructure; or</li> <li>c) accessing other forms of research capability.</li> </ul> |
| <b>Sector</b>                            | A group of organisations undertaking economic activities similar with the Division level of the Australian and New Zealand Standard Industrial Classification 2006.                                                                                                                                                                                                                                                                                                                                                                                    |

|                                             |                                                                                                                                                                                                                                                                                                                                                                              |
|---------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Services</b>                             | Includes the <i>Activities</i> , other than <i>Grants</i> , described in any schedule of the <i>Programme Guidelines</i> .                                                                                                                                                                                                                                                   |
| <b>Supply Chain Facilitation</b>            | The <i>Activities</i> described in clause 97 of Schedule A of these <i>Programme Guidelines</i> and the <i>Activities</i> described in clause 205 of Schedule D of these <i>Programme Guidelines</i> .                                                                                                                                                                       |
| <b>Supplier Continuous Improvement Plan</b> | A plan provided to the business following the delivery of services under the <i>Enterprise Connect</i> programme that documents the findings and recommendations.                                                                                                                                                                                                            |
| <b>Supplier Improvement Plan</b>            | A tailored plan for individual small and medium businesses receiving <i>Supply Chain Facilitation</i> that identifies and addresses key capability and skills gaps and provides a series of practical recommendations to help improve access to domestic and international supply chains.                                                                                    |
| <b>Tourism Business</b>                     | Is a business that must:<br><br>a) derive a significant portion of their revenue from visitors; and<br><br>b) operate in tourism-related industries including accommodation; cafes, restaurants and takeaway food services; clubs, pubs, taverns and bars; passenger transport; tour operator services; cultural services; sports and recreation services; and retail trade. |
| <b>Tourism Partnership</b>                  | The <i>Service</i> described in clause 204 of Schedule D of the <i>Programme Guidelines</i>                                                                                                                                                                                                                                                                                  |
| <b>Tourism Partnership Plan</b>             | A tailored plan for a group or consortium of small businesses receiving a <i>Tourism Partnership Service</i> that identifies joint activities or opportunities.                                                                                                                                                                                                              |

## Appendix 2. Guidelines on eligible expenditure for Incubator Support

309. This section provides guidelines on the eligibility of expenditure. We will update these guidelines from time to time, so you should make sure you have the current version from the business.gov.au website before preparing your application.
310. The Programme Delegate makes the final decision on what is eligible expenditure and may give additional guidance on eligible expenditure if required.
311. To be eligible, expenditure must:
- a) be incurred by the grantee within the project period;
  - b) be a direct cost from the project;
  - c) be incurred by the grantee for approved project audit activities; and
  - d) meet the eligible expenditure guidelines for Incubator Support grants.

### How we verify eligible expenditure

312. If your application is successful, we will ask you to verify the project budget that you provided in your application when negotiating your grant agreement. You may need to provide evidence for major cost items such as labour. Evidence can include:
- a) quotes;
  - b) purchase orders;
  - c) supply agreements; and
  - d) details of all employees working on the project, including name, title, function, time spent on the project and salary.
313. The grant agreement will also include details of the evidence you may need to provide when you achieve certain milestones in your project. This may include evidence related to eligible expenditure, including:
- a) contractor / supply agreements;
  - b) leasing or purchasing arrangements;
  - c) invoices; and/or
  - d) associated payments.
314. If requested, you will need to provide the agreed evidence along with your milestone achievement reports.

315. You must also keep payment records of all eligible expenditure, and must be able to explain how the costs relate to the agreed project milestones and activities. At any time, we may ask you to provide records of the expenditure you have paid. If you do not provide these records when requested, the expense may not qualify as eligible expenditure.
316. At the end of the project, you may be required to provide an independent financial audit of all eligible expenditure from the project.

### **Eligible expenditure**

317. Grant funds must be eligible expenditure directly related to the project. Eligible expenditure can include, but is not limited to:
- a) salaries for staff and direct salary and on-costs for Australian personnel directly employed for the project activities (on a pro-rata basis relative to their time commitment);
  - b) contractor costs, for example third party providers that provide business support to start ups;
  - c) costs of developing and delivering workshops, conferences, professional development, networking events forums and courses (including travel costs for key participants);
  - d) workshops in support of the activities, knowledge transfer and capability development;
  - e) costs related to recruiting or contracting specialist staff directly related to the project; and
  - f) purchase of computing equipment and software directly related to the project.

### **Labour expenditure**

318. Eligible labour expenditure for the grant covers the direct labour costs of employees you directly employ on the core elements of the agreed project. We consider a person an employee when you pay them a regular salary or wage, out of which you make regular tax instalment deductions.
319. We consider costs for technical, but not administrative, project management activities eligible labour expenditure. However, these costs are limited to 10 per cent of the total amount of eligible labour expenditure claimed.
320. We do not consider labour expenditure for leadership or administrative staff (such as CEOs, CFOs, accountants and lawyers) as eligible expenditure, even if they are doing project management tasks.
321. Eligible salary expenditure includes an employee's total remuneration package as stated on their Pay As You Go (PAYG) Annual Payment Summary submitted to the Australian Taxation Office (ATO). We consider salary-



sacrificed superannuation contributions as part of an employee's salary package if the amount is more than what the Superannuation Guarantee requires.

322. The maximum salary for an employee, director or shareholder, including packaged components that you can claim through the grant is \$150,000 per financial year.
323. For periods of the project that do not make a full financial year, the maximum salary amount you can claim will be reduced in proportion to the amount of time in the part financial year the project was taking place.
324. You can only claim eligible salary costs when an employee is working directly on agreed project activities during the agreed project period.

### **Labour on-costs and administrative overhead**

325. Eligible salary costs can be increased by an additional 30 per cent allowance to cover on-costs such as employer paid superannuation, payroll tax and workers compensation insurance, and overheads such as office rent and the provision of computers.
326. You should calculate eligible salary costs using the formula below:

$$\text{Eligible salary costs} = \text{Annual salary package} \times \frac{\text{Weeks spent on project}}{52 \text{ weeks}} \times \text{percentage of time spent on project}$$

327. You cannot base labour costs on an estimation of the employee's worth. If you have not exchanged money (either by cash or bank transactions) we will not consider the cost eligible.
328. We will only consider salaries paid to principals and/or their relatives as eligible labour expenditure when the ATO has assessed tax payable on the salary
329. Evidence you will need to provide can include:
  - a) details of all personnel working on the project, including name, title, function, time spent on the project and salary; and
  - b) ATO payment summaries, pay slips and employment contracts.

### **Contract expenditure**

330. Eligible contract expenditure is the cost of any agreed project activities that you contract others to do. These can include contracting:
  - a) another organisation; or
  - b) an individual (who is not an employee, but engaged under a separate contract).

331. All contractors must have a written contract prior to starting any project work—for example, a formal agreement, letter or purchase order which specifies:
- a) the nature of the work to be performed; and
  - b) the applicable fees, charges and other costs payable.
332. Invoices from contractors must contain:
- a) a detailed description of the nature of the work
  - b) the hours and hourly rates involved
  - c) any specific plant expenses paid.
333. Invoices must directly relate to the agreed project, and the work must qualify as an eligible expense as if you had claimed it directly (without engaging a contractor). The costs must also be reasonable and appropriate for the activities performed.
334. We will require evidence of contractor expenditure that may include:
- a) an exchange of letters (including email) setting out the terms and conditions of the proposed contract work;
  - b) purchase orders;
  - c) supply agreements; and
  - d) invoices and payment documents.
335. As stated in the grant agreement, you are required to ensure all project contractors keep a record of the costs of their work on the project. You may be required to obtain and provide a contractor's records of its costs of doing project work. If you do not provide such records, the relevant contract expense may not qualify as eligible expenditure.

### **Other eligible expenditure**

336. Other eligible expenditures for the project may include:
- a) staff training that directly supports the achievement of project outcomes;
  - b) financial auditing of project expenditure; and
  - c) costs of acquiring technology; and
  - d) reasonable fitout expenditure directly related to the project.
337. Other specific expenditures may be eligible as determined by the Programme Delegate.

## **Appendix 3. Ineligible expenditure for Incubator Support**

338. Examples of ineligible expenditure include:

- a) investment of money in exchange for equity into start-ups;
- b) activities, equipment or supplies that are already being supported through other sources;
- c) costs incurred prior to us notifying you that the application is eligible and complete;
- d) financial costs, including interest;
- e) non-project-related staff training and development costs;
- f) insurance costs (the participants must effect and maintain adequate insurance or similar coverage for any liability arising as a result of its participation in funded activities);
- g) depreciation of plant and equipment;
- h) building, construction and lease expenses;
- i) maintenance costs;
- j) costs related to obtaining resources used on the project, including interest on loans, job advertising and recruiting, and contract negotiations;
- k) routine operational expenses, including communications, accommodation, office computing facilities, printing and stationery, postage, legal and accounting fees and bank charges; and
- l) costs related to preparing the grant application, preparing any project reports and preparing any project variation requests.

339. Other specific expenditure may be ineligible as determined by the Programme Delegate.

## **Appendix 4. Guidelines on in-kind contributions for Incubator Support**

340. In-kind contributions are non-cash contributions towards your total project value. In-kind contributions can count towards a maximum of 10 per cent of your total project value (which is 20 per cent of your matched funding).
341. In-kind contributions must directly relate to delivering the project activities. This can include:
- a) third party staff salaries;
  - b) access to facilities such as office accommodation;
  - c) access to services such as coaching and mentoring, business planning; and
  - d) access to resources such as ICT software.
342. You will need to detail and cost all in-kind contributions.
343. Where the Programme Delegate considers that the reported value of in-kind contributions is not consistent with current market rates or is otherwise unreasonable, we may ask you to increase the cash contributions to the project.



Australian Government  
Department of Industry,  
Innovation and Science

# Business

AusIndustry

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Canberra ACT 2601 Australia

Web: [www.industry.gov.au](http://www.industry.gov.au)

ABN: 74 599 608 295

<Insert contact name>

<Insert contact title>

<Insert company name>

<Insert address>

<Insert suburb, state, postcode>

Dear <Insert contact name>

***Incubator Support Initiative – New & Existing – Initial Payment***

**Project Number:** <insert SGMS project number>

**Project Title:** <insert SGMS project title>

Further to our letter dated <insert date> advising that your grant application under the Incubator Support Initiative was successful, I am pleased to advise that a payment of \$<insert payment amount> will shortly be deposited into your nominated bank account.

Please find attached a Recipient Created Tax Invoice (RCTI) for your records.

If you have any queries please do not hesitate to contact me on <insert CSM phone number> or <insert CSM email address>.

Kind Regards,

<insert CSM name>

<insert CSM title>

<insert CSM state office> - AusIndustry

Department of Industry, Innovation and Science

<Insert date>