



# Building Industry and Academic Linkages - Pilot

## Programme Guidelines

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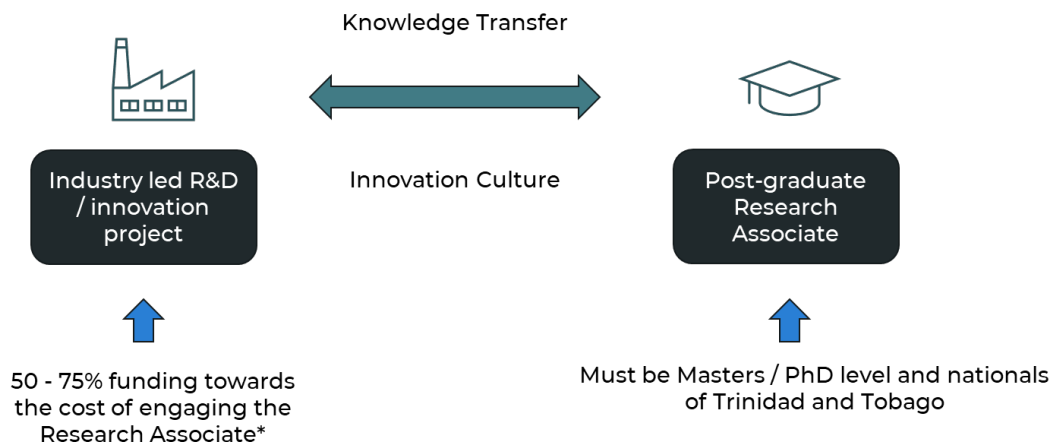


## Introduction

**Building Industry and Academic Linkages** is a pilot intervention aimed at supporting business-led innovation by fostering and strengthening links between companies in Trinidad and Tobago and universities through **applied research and knowledge development**. It is part of a larger programme, Shaping the Future of Innovation (STFOI), which has as its goal to contribute to a diversified economic base in Trinidad and Tobago by developing new markets, products, services, and business models.

STFOI is an initiative of the Government of the Republic of Trinidad and Tobago, the European Union (EU) and IDB LAB, the innovation laboratory of the Inter-American Development Bank Group, in collaboration with the Caribbean Industrial Research Institute (CARIRI) as the executing agency. The programme is financed by the European Union and the IDB LAB.

The Building Industry and Academic Linkages Pilot is open to eligible companies seeking to embark upon, or actively pursuing, applied R&D or innovation projects. They will be afforded the opportunity under the pilot to engage a post-graduate research associate for up to six months to bring in new knowledge and expertise.



\*SMEs can receive up to 75%, large companies up to 50%. Some companies may be eligible for R&D tax concessions.



Successful applicant companies will receive between 50% (large companies) and 75% (SMEs) of the cost towards engaging a research associate as a consultant to work on a specific, pre-defined applied R&D / innovation project. In both cases, the grant contribution will not exceed 10,000 TTD per month. Companies may apply to host up to two associates during the implementation of the STFOI programme but they must be presented as two separate applications.

The company must cover any other costs for example, consumables, equipment, access to facilities at universities associated with the project. The company will enter into a contract with CARIRI for the intervention, with the research associate engaged directly by the firm as a consultant. The research associate will be supervised by the firm and an academic mentor.

For the context of Building Industry and Academic Linkages, innovation projects can be considered as any new product, service, technology, device, process that provides an improvement and value for which the market or internal customers will be willing to pay. Innovations at a lower **TRL levels (TRL 2-7)** are the focus of this Component.

The following guidelines are intended to assist companies to present high quality administrative and technically eligible documents. Additional assistance can be accessed by contacting: [stfoi@betatechnology.co.uk](mailto:stfoi@betatechnology.co.uk)

## The Application Process

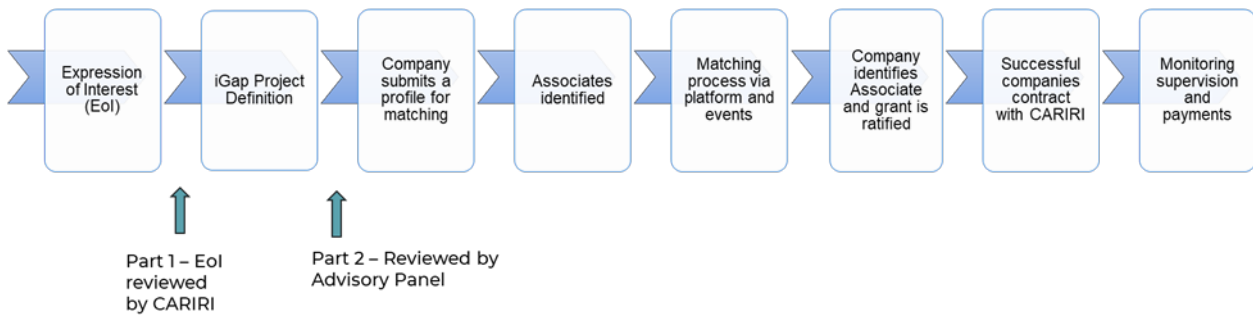
The Building Industry and Academic Linkages Pilot is a two-part, open call application process for companies. The pilot is currently open for applications, which will be assessed on a rolling basis. Further information will be provided on the Shaping the Future of Innovation website <http://future.cariri4.com/> and promoted via social, electronic and / or print media.

Research associates looking for placements are asked at this stage to contact [stfoi@betatechnology.co.uk](mailto:stfoi@betatechnology.co.uk), providing an up-to-date CV. Eligible research associates will then be matched with potential host companies.

An overview of the application process is detailed below:



'Open Call' for applications (no deadlines)



**Part 1** of the application is an **Expression of Interest** which is completed by the company and reviewed by CARIRI. An administrative eligibility check will also be done at this stage (criteria are detailed on page 7). Eligible companies are then invited by CARIRI to undertake an iGap intervention, where the need and scope of the potential innovative project is defined. Companies must pay a financial contribution towards the cost of the iGap intervention. The indicative cost of iGap is USD75 (TTD500) per hour with a typical intervention lasting between 1-6 hours depending on:

- Size of the company.
- Number of representatives to speak with.
- If a site visit / tour is included.
- Follow up actions e.g. meetings / review of documents.

**However, companies that have already applied to the Innovation Challenge Facility and have a pre-defined project may be fast-tracked through the process (i.e. they do not undertake an iGap intervention and are invited to complete Part 2 of the application).**

The output of iGap is a fully defined project with a clear scope, defined activities and requirements, including the profile of the research associate needed for the project. This output forms **Part 2** of the application, the **Project Definition Form**.

The full application (Parts 1 and 2) is submitted by the company and then reviewed and scored by an Advisory Panel, who submit recommendations to CARIRI. On approval by CARIRI, successful applicant companies will then enter the matching phase to identify research associates with the skills and knowledge they require, as provided in Part 2 of the application.



Once a suitable research associate has been identified, companies are then invited to submit a detailed cost proposal, the CV of the research associate and the implementation plan for the research project for final ratification.

The company will enter into a consultancy agreement with the research associate for a period of up to six months.

All information provided by applicants is treated in the strictest of confidence, please refer to the Shaping the Future of Innovation Privacy Notice for further information <http://future.cariri4.com/>.

## Administrative Eligibility Criteria (Firms)

To apply for Building Industry and Academic Linkages, applicant firms must meet the following administrative eligibility criteria and provide supporting evidence as part of the application.

Legal entity
<p>Applicants must be a registered legal entity (versus a natural person) including:</p> <ul style="list-style-type: none"> <li>• Companies.</li> <li>• Associations / NGOs representing a group of businesses.</li> <li>• Universities, enterprises, ventures and spin outs.</li> <li>• Partnerships and sole traders who have registered their business name and who have been able to open business bank accounts.</li> <li>• A cluster of businesses with a joint project may agree to one member of the cluster representing the group. The representing entity must meet the eligibility criteria and the companies must have an agreement among them for implementing the project and making the contributions.</li> </ul> <p><b>Supporting evidence required for assessment and audit:</b></p> <p>Certificate of Incorporation, Act of Parliament, registration as NGO, registered business name (for sole traders and partnerships), other legal instruments.</p>
Location
<p>The grant funding is only for businesses registered and with a physical presence and substantial part of their operations located in Trinidad and Tobago, generating employment in Trinidad and Tobago. Such firms are subject to tax payments unless exempt in Trinidad and Tobago.</p>



Additionally, job creation is an important element of the evaluation.

**Supporting evidence required for assessment and audit:**

The Registered Notice of Address (Form 4).

**Tax Compliance status**

Applicants must be able to show compliance with the regulations of the tax authorities.

**Supporting evidence required for assessment and audit:**

Valid Tax Clearance up to the date of submission or tax receipt from the previous year of submission of the application to Building Industry and Academic Linkages (from BIR and proof of payment / tax receipts (including Corporation Tax, Business Levy, Green Fund Levy, VAT, PAYE, Income Tax). If exempt from paying tax, then provide Proof of Exemption.

**Compliance with Companies' Registrar**

Applicants must be able to show compliance with the regulations of the Companies Registrar including up to date filing.

**Supporting evidence required for assessment and audit:**

Annual Return (Form 28 or Form 29) for year of submission to Building Industry and Academic Linkages or proof that the process has been initiated.

**Financial identity**

Applicants should have a bank account in the name of the legal entity versus natural person.

**Supporting evidence required for assessment and audit:**

Recent bank statement header only showing business name and address registered with bank as well as bank account number. For Sole traders, header should show name of entrepreneur, "trading as business name"

**Financial status**

Applicants must be able to demonstrate they have a viable business.

**Supporting evidence required for assessment and audit:**

Audited or unaudited financial reports must be presented for the last 3 years.



## Administrative Eligibility Criteria (Research Associates)

Individuals interested in being considered as a research associate must meet the following criteria:

- Currently studying for, or recently graduated (within the last two years) with, a Masters degree or PhD.
- Nationals of Trinidad and Tobago. However, research associates can be nationals of Trinidad and Tobago resident or studying overseas, they would be considered subject to prior agreement of the host company, depending on the type of project and if adequate supervision can be demonstrated.

The nationality and qualifications of research associates will be verified prior to entering the matching process.

The research associates will not be employed by the host company, they are engaged as self-employed consultants.

Research associates are also expected to produce a final output from the project in the form of a paper or report. The exact format and level of disclosure (ranging from fully open access to confidential-commercial) will be agreed with the host firm at the start of the project.

## Scope of Building Industry and Academic Linkages

In addition to the administrative eligibility criteria listed in the table above, applications must also meet the following technical requirements, which will be considered during both parts of the assessment process.

Type of projects
<p>All projects must be in the context of applied R&amp;D / innovation. This includes the development of new products and services, process and productivity improvements, and building and testing prototypes. The intervention is targeting projects with high potential for new markets, export earnings, job creation, social and environmental impact.</p>
<p>The exact scope of the project and detailed activities will be defined during the iGap intervention to ensure the eligibility criteria and aims of the intervention are met.</p>
<p>Projects must be new and / or additional activities. The funding will not cover routine company activities or existing projects.</p>
<p>All projects must define and deliver one or more 'Key Exploitable Results' and their outcomes. These are outputs from the project including definition of new products or services, or</p>





measurable improvements to the productivity / competitiveness of the host company. Examples include, but are not limited to, technical reports demonstrating the viability, performance, compliance, safety of new products, processes and services, new Intellectual Property, know-how or knowledge which can be protected and exploited by the company and feasibility studies (including market research).

Technology Readiness Levels (TRL) are a way of estimating the maturity of new technologies on a scale of 1 to 9. The EU research and innovation programmes provide the following definitions:

- TRL 1 – basic principles observed.
- TRL 2 – technology concept formulated.
- TRL 3 – experimental proof of concept.
- TRL 4 – technology validated in lab.
- TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies).
- TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies).
- TRL 7 – system prototype demonstration in operational environment.
- TRL 8 – system complete and qualified.
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space).

Projects must be at least TRL2 technology concept formulated to TRL 7 - system prototype demonstration in operational environment.

**Evaluation:**

The innovation, technology readiness and potential of projects will be evaluated by the Advisory Panel.



## Sectors

Industry Academic Partnerships will be open to businesses from all sectors, **except for:**

- Primary oil and gas extraction and production.
- Guns, other weapons, and ammunition.
- Gambling.
- Illegal drugs.
- Any activity that may result in damage to the environment.
- Any activity that may result in exploitation of labour.

In addition to meeting administrative eligibility (legal identity, tax and company compliance and financial identity) to apply for this funding, businesses must also meet all the necessary regulatory and licensing requirements to operate and grow in their sectors (if applicable to the sector).

### Evaluation:

The sector will be identified in the Expression of Interest submitted by the company. Projects from ineligible sectors will be excluded at this stage.

## Grant size

Successful firms will receive 75% (SMEs) or 50% (large companies) of the cost associated with engaging the research associate as a consultant for a maximum of six months. The total grant available is:

- For SMEs – 75% of the cost of engagement or 10,000 TTD per month, whichever value is lower.
- For large companies – 50% of the cost of engagement or 10,000 TTD per month, whichever value is lower.

### Evaluation:

The Advisory Panel and / or CARIRI may make recommendations on final amounts to be allocated.

## Eligible costs and contribution from beneficiaries

Only expenses directly related to the engagement of the research associate as a consultant and incurred after the project has been approved and the contract signed, will be covered by



the grant fund. Firms will be asked to provide evidence of engaging and paying the research associate e.g. copy of consultancy agreement in place.

Applicants must be prepared to contribute between 25% (SMEs) and 50% (large companies) co-financing to the cost of engaging the research associate and any other costs they incur for the project from their own resources (including bank loans, equity, working capital, savings). Recipients of funding from the Innovation Challenge Facility (Component 1) are not allowed to use their grant funding as a contribution to engaging the research associate.

**Evaluation:**

Applicants are expected to present the initial co-financing amount in Part 2 of the application process.



## How to Apply (Companies)

### Part 1 – Expression of Interest

Applicant firms will be required to complete a simple Expression of Interest (template available for download from <http://future.cariri4.com/>). You are also required to submit the administrative documents described above to support your eligibility. The Expression of Interest consists of:

1. A description of your business, including size and sector, its performance and the qualifications and track record of key personnel.
2. The needs and opportunities targeted by the innovation.
3. Initial outline of the proposed innovation and how it responds to the market needs identified (the 'clear theory of change' and value proposition).
4. Estimated readiness of the technology / innovation.

### Part 2 – Project Definition

Following the iGap intervention, applicants are invited to complete Part 2 of the application. This includes more detail on the proposed innovation project. You will be asked to provide more information on:

1. More detailed description of the proposed innovation, benefits to customers and market analysis.
2. How the project will advance the Technology Readiness Level of the innovation.
3. The actual project seeking support from a research associate, including a description of the specific skills and knowledge required.
4. The Key Exploitable Results and outcomes anticipated at the end of the project
5. An indicative budget for the cost of engaging the research associate (maximum six months).
6. The expected wider impacts of the innovation such as jobs that can be created, new markets, increased efficiency, competitiveness, exports, new skills, as well as viable growth / profit potential, environmental and social impacts.

### Policy on Disbursements/ Payments

The grant will be paid monthly, following the submission of a simple monthly report.



## **Monitoring, Reporting, Participation in Events**

Beneficiaries will be expected to support monitoring of the projects by specialists, submission of short monthly reports on the project implementation up to completion and participation in events or publication of success stories to showcase their projects.



## Review and Scoring of Applications

### Eligibility Check

To be eligible for your submission to be reviewed by the Advisory Panel, a check will be undertaken to on the completeness of the application and eligibility based on the administrative checklist below:

Criteria – Has the applicant provided required documents to demonstrate they meet the following:	Check √
1. Proof of Legal identity: <ul style="list-style-type: none"> <li>• <b>Companies:</b> Certificate of Incorporation and/ or Certificate of Continuance Issued by Companies Registrar</li> <li>• <b>Sole traders/Partnerships:</b> Business name registration issued by Companies Registrar</li> <li>• <b>NGOs:</b> Certificate of Incorporation as a non-profit company and /or Certificate of Registration as a Non-Profit Organisation under the FIU</li> </ul>	<input type="checkbox"/>
2. Location <ul style="list-style-type: none"> <li>• Registered Notice of Address (Form 4)</li> </ul>	<input type="checkbox"/>
3. Compliance status – Tax authorities <ul style="list-style-type: none"> <li>• Valid Tax Clearance from BIR and proof of payment / tax receipts (including Corporation Tax, Business Levy, Green Fund Levy, VAT, PAYE, Income Tax) up to the date of submission or tax receipt from the previous year of submission of the application to Building Industry and Academic Linkages</li> </ul>	<input type="checkbox"/>
4. Compliance status – Companies registry <ul style="list-style-type: none"> <li>• Annual Return (Form 28 or Form 29) for year of submission to Building Industry and Academic Linkages or proof that the process has been initiated</li> </ul>	<input type="checkbox"/>
5. Financial Identity <ul style="list-style-type: none"> <li>• Recent bank statement <b>header</b> only showing business name and address registered with bank as well as bank account number. For Sole traders, header should show name of entrepreneur, “trading as business name”</li> </ul>	<input type="checkbox"/>
6. Financial status (stage 2) <ul style="list-style-type: none"> <li>• Last three years annual accounts are required.</li> </ul>	<input type="checkbox"/>
7. Size <ul style="list-style-type: none"> <li>• Details of sales, assets and number of employees</li> </ul>	<input type="checkbox"/>
8. Type of project <ul style="list-style-type: none"> <li>• The funding supports only business innovation and not innovation for social objectives.</li> </ul>	<input type="checkbox"/>
9. Sector <ul style="list-style-type: none"> <li>• The facility supports all sectors except primary oil and gas extraction and production</li> </ul>	<input type="checkbox"/>



## Review by the Advisory Panel

The Advisory Panel will review your application, provide recommendations to CARIRI and score out of 50 based on the following criteria:

### Part 1 Expression of Interest

Criteria	Score
<b>1. Background on Business</b> <ul style="list-style-type: none"> <li>• Business track-record and growth potential.</li> <li>• Financial performance.</li> <li>• Experience and qualifications of key personnel (of the host firm).</li> </ul>	/5

### Part 2 Project Definition Form

Criteria	Score
<b>2. Proposed R&amp;D / applied innovation project</b> <ul style="list-style-type: none"> <li>• Understanding of the innovation and its application.</li> <li>• Relevance of the innovation / solution.</li> <li>• Uniqueness / novelty of the innovation.</li> <li>• Value proposition / customer pull.</li> <li>• Understanding of the potential of the opportunity.</li> </ul>	/10
<b>3. Readiness</b> of technology, knowledge gap to be filled by the research associate. <ul style="list-style-type: none"> <li>• Innovation potential and clear opportunity for a research associate to transfer knowledge into the host firm applicable to the innovation.</li> <li>• Potential commercial viability.</li> </ul>	/10



Criteria	Score
<p><b>4. Project to be financed</b>, the start of the project, the activities to be undertaken by the research associate in the project, the key outputs, finalisation of the project.</p> <ul style="list-style-type: none"> <li>• Realistic timescale for implementing the project.</li> <li>• Logic and detail of the work plan and the appropriate allocation of tasks to the research associate.</li> <li>• Appropriate plan and level of supervision by the firm of the research associate.</li> <li>• Understanding of the profile of the research associate (knowledge and skills required).</li> <li>• Project outputs, including Key Exploitable Results and their expected outcomes.</li> </ul>	/20
<p><b>5. The expected impacts of the project:</b></p> <ul style="list-style-type: none"> <li>• Jobs that can be created.</li> <li>• New markets.</li> <li>• Increased efficiency/productivity.</li> <li>• Competitiveness.</li> <li>• Exports.</li> <li>• New skills.</li> <li>• Growth / profit potential.</li> <li>• Environmental and social impacts.</li> </ul>	/5

### Total Score (out of 50)

Building Industry and Academic Linkages operates as an open call and applications are reviewed on a rolling basis by an Advisory Panel. Funding is limited to 10 projects for the pilot phase and awards will be made on the appropriateness of the proposed projects for Component 2 funding. The Advisory Panel will review each project proposed by the host company considering its innovation potential and the opportunity for a research associate to transfer and embed knowledge into the company to improve its competitiveness and sustainability. CARIRI will award the grant funding to companies considering the recommendations of the panel and the identification of a suitable research associate.