

REPUBLIC OF UZBEKISTAN
MODERNIZING UZBEKISTAN'S NATIONAL INNOVATION SYSTEM PROJECT

SUBCOMPONENT 1.1. RESEARCH EXCELLENCE PROGRAM (REP)
GRANT PROGRAM MANUAL

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ABBREVIATIONS AND ACRONYMS

CEM	Co-executing institute manager
CfP	Call for Proposals
Co-PI	Co-Principal Investigator
CS	Commercialization Specialist
ESF	Environmental and Social Framework
ESMF	Environmental and Social Management Framework
ESS	Environmental and Social Standards
FA	Financing Agreement
GDP	Gross Domestic Product
GFM	Grant Fiduciary Manual
GPM	Grant Program Manual
HEI	Higher Education Institution
HI	Host institution
JRG	Junior Research Grants
IEB	International Expert Board
IPR	Independent peer reviewer
MID	Ministry of Innovative Development
MUNIS	Modernizing Uzbekistan National Innovation System
NIS	National Innovation System
PDO	Project Development Objective
PI	Principal Investigator
PIU	Project Implementation Unit
POM	Project Operations Manual
PRO	Public Research Organization
PRI	Public Research Institute
PRIM	Public Research Institutes Modernization Program
R	Researcher
RCP	Research Commercialization Program
RCs	Research Centers
REP	Research Excellence Program
RI	Research Institution
RUZ	Republic of Uzbekistan
SDG	Sustainable Development Goals
SRG	Senior Research Grants
STI	Science, Technology, and Innovation
TD	Technology development
WB	World Bank

INTRODUCTION

1. The Ministry of Innovative Development (MID) implements the **Modernizing Uzbekistan's National Innovation System** (MUNIS) project under the Financing Agreement (FA) between the Republic of Uzbekistan and the International Development Association of the World Bank (WB), signed on May 17, 2021.
2. The MUNIS project is aligned and complementary to several ongoing and planned initiatives of the MID, aimed towards increasing the coverage and effectiveness of scientific activities in the innovative development of the country's economy, ensuring the effectiveness of commercialization and technology transfer, forming an integral startup ecosystem, supporting an initiative society actively participating in innovative development, increasing the share of research and development and innovative products in the gross domestic product (GDP) aimed at creating new products and new jobs focused on the consumer market, as well as improving the quality of life of the population, including in remote regions.
3. The MUNIS project's main goal is to contribute to the development of the **National Innovation System** (NIS) capable of effectively supporting the market economy. It will promote cooperation between government, scientific organizations, and the private sector in the field of R&D and the commercialization of scientific and innovative products and services.
4. The MUNIS project is designed to support the development of four institutional sectors: (i) university-based research and technology transfer, (ii) science throughout public research institutes (RI), (iii) business, and (iv) government. The project contributes to the development of research, commercialization, science, technology, and innovation (STI) policy capacities of beneficiaries in these institutional sectors, thereby supporting the upgrade of Uzbekistan's NIS and, finally, leading to economic and societal impacts.
5. MUNIS' project development objective (PDO) aims to enable the development of a market-oriented NIS in Uzbekistan. MUNIS project is comprised of 4 components:
 - 1) Improving research excellence and commercialization;
 - 2) Promoting innovation in the private sector;
 - 3) Supporting STI policy-making and reforms;
 - 4) Project management and monitoring and evaluation.
6. Component 1 – Improving research excellence and commercialization - is comprised of three sub-components: (i) Research Excellence Program (REP); (ii) Research Commercialization Program (RCP); and (iii) Public Research Institutes Modernization Program (PRIM). The objective of this component is to improve the capacity of public research organizations to achieve international standards of research quality and enable the commercialization of research results.
7. The REP is a competitive research grant program that will finance several selection rounds of research projects under strict selection and monitoring processes. The total available budget for REP grants is 10 million US Dollars.
8. This document constitutes the REP Grant Program Manual (REP GPM), providing a program description and defining key program principles, methods, guidelines, and procedures regulating

the scope, implementation arrangements, application and selection processes. This REP GPM is complemented by a second document, the REP Grant Fiduciary Manual (REP GFM). The REP GFM sets forth rules, methods, guidelines, accountability aspects, and procedures regulating the execution of the selected research sub-projects.

9. This REP GPM document is composed of eight (8) sections:

- 1) MUNIS REP Governance;
- 2) Munis REP Grant Funding Principles;
- 3) Proposals Eligibility Principles;
- 4) Evaluation and Admissibility Principles;
- 5) Award and Grant Agreement;
- 6) Monitoring and Evaluation;
- 7) Closing;
- 8) Annexes.

10. All information (including this document) related to the MUNIS project and the REP is available at the project website: **wbgrants.mininnovation.uz**

1. MUNIS REP GOVERNANCE

11. The MUNIS project is implemented within the framework of the FA between the Government of the Republic of Uzbekistan and the WB, signed on 17.05.2021. The FA has the status of an international treaty and therefore prevails over the national legislation of the Republic of Uzbekistan. Per the provisions of the FA, the Project Operation Manual (POM) for MUNIS adopted by the MID in June 2021 sets out the operational, fiduciary, and administrative procedures for the implementation of the MUNIS project and all its components. In addition, following the FA provisions, each grant program financed under MUNIS will be regulated by the respective Grant Manual and the Grant Fiduciary Manual developed in line with POM and acceptable to WB.

12. Per the above-described framework, the MID is responsible for the MUNIS project implementation arrangements and execution, creating and maintaining a set of administrative and management units defined within the project framework. Of special relevance to the REP are the followings organizational structures:

- 1) **The Project Implementation Unit (PIU).** The PIU assists the MID with day-to-day management and implementation of MUNIS activities following the procedures outlined in the POM. The PIU is also responsible for fiduciary activities, such as procurement, financial management, environmental and social compliance, reporting citizen engagement, project audits, maintenance, and update of the project web/portal.
- 2) **The International Expert Board (IEB).** The IEB has two key roles: (i) advisory, for overall MUNIS project implementation and (ii) evaluation of research proposals received under grant programs including the award decisions and monitoring implementation of the supported research sub-projects.
- 3) **Independent peer reviewers (IPR):** Peer reviewers for independent scientific and technical evaluation of grant proposals will be engaged for each Call for Proposals (CfP). Proposals will be subject to the peer-review process before IEB review, assessment, and a final award decision.

13. IEB decisions are final and cannot be challenged. Acceptance of this arrangement is a condition to participating in the REP grant program. The IEB has the right to reject or suspend implementation of a subproject, at any stage, based on, inter alia: a) proven case of previous funding for the same activity b) fraud; c) change of all principal participants; d) lack of progress; e) misappropriation of funds; f) substantial deviation of the subproject from the initially declared direction.

14. This Grant Program Manual regulates the REP grant program all aligned with the FA, the POM and satisfactory to the WB.

2. MUNIS REP GRANT FUNDING PRINCIPLES

2.1. REP objectives

15. The REP aims to transform Uzbekistan's science legacy into a source of economic growth, as well as a source of solutions to societal challenges. It also aims to strengthen the country's

research excellence, research quality and relevance, knowledge transfer capabilities, and future research capabilities by prioritizing international research collaborations, private sector collaborations and career development for young researchers.

16. As a result of REP implementation, an increase in the number of the country's scientific peer-reviewed international publications, and postgraduate enrollments is expected. The REP is also the first component of the MUNIS project and as such, REP also ignites the NIS transformative effort aiming to a better and more relevant research status; stronger collaboration between science and industry; additional and higher quality of public spending on R&D.

2.2. Grants funding criteria

17. Selection will be based on two core criteria: (i) scientific merit, and (ii) social and/or economic relevance, based on the potential contribution(s) of the research proposal to solving some societal challenge (particularly in the fields of, but not limited to, renewable energy, energy efficiency, low-carbon technologies, biotechnologies, medicine and health, agriculture and food, artificial intelligence, and COVID- 19-related research) and on its potential for commercial application.

18. The selection process will also prioritize (i) international collaborations, (ii) joint research proposals with the private sector, and (iii) career development of young researchers.

19. The REP grants support individual researchers that are starting or consolidating their independent research team or program and who can demonstrate the innovative research, ambition, and feasibility of their scientific proposal. Eligible candidates must belong to a Public Research Organization (PRO) or a higher education institution (HEI). REP emphasizes joint research proposals from local and international researchers (including Uzbek scientists abroad), joint research proposals from researchers and the private sector, and proposals from young (junior) researchers, aiming to strengthen the country's future research capability.

20. Proposals can be of a multi- or interdisciplinary nature, which cross the boundaries between different fields of research, including pioneering proposals addressing new and emerging fields of research or proposals introducing unconventional, innovative approaches and scientific inventions.

21. The REP operates on a "bottom-up" basis, aiming to promote broad outreach and participation, encouraging applications related to any field of research.

22. At the time of completion, the sub-projects are expected to achieve the following results stated below:

- publication of an article(s) in reputable internationally peer-reviewed journals (minimum 1 for junior researcher group and 2 for senior researcher group) on the subproject topic;
- getting a national and international patent for an invention or technology related to the sub-project is desirable;
- commercialization of the product or service within the scope of the sub-project (if warranted by the commercialization potential);
- involve students in the proposed research project, facilitate their thesis work;
- other.

2.3. Host Institution (HI)

23. The HI must ensure that the project PI, co-PI and key research staff are its employees at least for the duration of the research project funded by REP. Staff changes must be coordinated with PIU and subject to IEB's agreement.
24. The HI must clearly describe the physical, financial and administrative resources it will commit for the implementation of the research proposal.
25. The HI must provide its official IPR policy or clarify the distribution of IP as part of the grant application.
26. Types of legal entities hosting PIs are public/private RIs, Research Centers (RCs), and HEIs.

2.4. Requirements for SRG and JRG applicants:

27. The REP allows for two types of grants: REP Junior Research Grants (REP JRG), and REP Senior Research Grants (REP SRG).
28. The applicant is an organization with research accreditation in the Republic of Uzbekistan (university or research institute);
29. Applicants must have a project team that implements the sub-project.
30. Requirements for SRG sub-project team:
 - The sub-project team must be staffed with no more than 5 people, the involvement of key members of the sub-project team in the implementation of the sub-project should be a minimum of 50% of their working time. The SRG sub-project teams should be capable of working at the forefront of research in their fields. If the project team size is exceeded, it requires justification and approval of the number by the IEB. Members of the sub-project team may not be included in more than one application.
 - The group may include:
 - A Principal Investigator (PI) (mandatory team member) is an individual who assumes full responsibility for a research project, including but not limited to, the recruiting, training, and oversight of research assistants, as well as for the overall research administration, reporting and leadership. A SRG PI must have already shown research independence and evidence of maturity, for example by having produced several important publications as a principal or corresponding author. A senior scientist of advanced standing, including experience leading research projects with research teams composed of five to ten scientists. His/her first PhD shall have been obtained at least 5 years earlier than the grant preliminary application submission due date.
 - Co-Principal Investigator (Co-PI) (mandatory team member)- is an individual who, in absence of PI, assumes full responsibility for a research project, including but not limited to, the recruiting, training, and oversight of research assistants, as well as for the overall research administration, reporting and leadership. A senior scientist of advanced standing, including experience leading research projects with research teams composed of five to ten scientists. His/her first PhD shall have been obtained at least 5 years earlier than the grant preliminary application submission due date.
 - Co-executing institute manager (CEM) must have experience in administering

research groups/ projects and be a participating institute's employee for at least 2 years.

- Commercialization Specialist (CS) (if the sub-project has a commercialization potential) with at least 3 years of business experience who can conduct market research, form a marketing strategy, commercialization business model, and ensure that sales and/or investments are achieved;
- Senior/Junior scientist (SS or JS) scientist holding the degree of candidate of science or PhD with at least 2 years of research experience;
- Technology development (TD) (in case of applied research) specialist engaged in the development and organization of the production process, with experience of at least 3 years;
- Researcher (R) - worker, student, bachelor, or master degree student involved in a research project on this subject.

31. Requirements for JRG sub-project team:

- The sub-project team must be staffed with no more than 5 people. The involvement of key members of the sub-project team in the implementation of the sub-project should be a minimum of 50% of their working time. If the project team size is exceeded, it requires justification and approval of the number by the IEB. Members of the sub-project team may not be included in more than one application.
- The group may include:
 - A Principal Investigator (PI) (mandatory team member) is an individual who assumes full responsibility for a research project, including but not limited to, the recruiting, training, and oversight of research assistants, as well as for the overall research administration, reporting and leadership. A JRG PI must have already shown the potential for research independence and evidence of maturity, for example by having produced at least one important publication as a principal (first) author or without the participation of their PhD supervisor. A Junior researcher who carries out scientific research and received his/her PhD degree (or postgraduate degree) within five years of the grant preliminary application submission due date.
 - Co-Principal Investigator (Co-PI) (mandatory team member)- is an individual who, in absence of PI, assumes full responsibility for a research project, including but not limited to, the recruiting, training, and oversight of research assistants, as well as for the overall research administration, reporting and leadership. A JRG Co-PI must have already shown the potential for research independence and evidence of maturity, for example by having produced at least one important publication as a principal (first) author or without the participation of their PhD supervisor. A Junior researcher who carries out scientific research and received his/her PhD degree (or postgraduate degree) within five years of the grant preliminary application submission due date.
 - Co-executing institute manager (CEM) must have experience in administering research groups/projects and have been a participating institute's employee for at least 2 years.
 - Commercialization Specialist (CS) (if the sub-project has a commercialization potential) with at least 3 years of business experience who can conduct market research, form a marketing strategy, commercialization business model, and ensure that sales and/or investments are achieved.

- Senior/Junior scientist (SS or JS)- scientist holding the degree of candidate of science or PhD with at least 2 years of research experience;
- Technology development (TD) (in case of applied research) specialist engaged in the development and organization of the production process, with experience of at least 3 years;
- Researcher (R) - worker, student, bachelor, or master degree student involved in a research project on this subject.

32. The HI Director/Rector or Deputy Director/Deputy Rector cannot spend on the MUNIS REP subproject (SRG or JRG) more than 10% of their work time.

2.5. Funding

33. Funding for JRG and SRG grants may go up to USD 200,000 and USD 600,000, respectively. Each REP grant CfP will have the flexibility to establish lower maximum values to encourage more participation.

34. The maximum period for the implementation of a subproject should not exceed 24 months from the date of signing the grant agreement.

Funding	
REP Junior Research Grants (REP JRG)	REP Senior Research Grants (REP SRG)
Up to USD 200,000	Up to USD 600,000
Flexibility to establish lower maximum values to encourage more participation. Resources will be defined based on specific needs and activities planned. IEB, based on the evaluation of the research proposal, may recommend different budget targets (recommendations, guidelines, limits) depending on the research field and industry.	
Joint research proposals (involving researchers from the private sector; international researchers; scientists or experts from the Uzbek Diaspora) are encouraged.	
Project costs will be financed at a funding rate of 100% for direct costs, in addition to a flat rate of 10% for indirect operating costs. However, the costs related to any tax and other obligatory payments to the budget from grant funds are prohibited.	

BUDGET JUSTIFICATION (for total sub-project sum)

35. The proposal may request funds under any of the categories listed if the item and amount are necessary, reasonable, allocable, and allowable. Procurement of goods, works, and services must also be carried out following the World Bank's procurement guidelines as described in the GFM.

- **Staff**

- PI and Co-PI remuneration must not exceed 2000 USD per month*, including taxes, fees, and other mandatory payments to the budget and be pro-rated in case of part-time and/or parallel employment;
- Remuneration of CEM, CS, SS, JS, TD shall not exceed 1500 USD per month*, including taxes, fees and other mandatory payments to the budget and be pro-rated in case of part-time and/or parallel employment;
- Remuneration of an R shall not exceed 1000 USD per month* including taxes, fees and other mandatory payments to the budget and be pro-rated in case of part-time and/or parallel employment.

The team of Grantees is a group of individuals who work based on Temporary Employment Contracts. The above remuneration is calculated for full-time work. In the case of part-time personnel engagement, the compensation is reduced proportionally. Revealing the facts of fictitious registration of contracts, overstating the actual salaries can lead to the complete termination of funding and the return of grant funds.

- **Equipment**

The applicants should provide cost justification for each piece of equipment and describe how it will be used (e.g., list specific project tasks). The cost of equipment can include installation, assembly, tuning, launching, certification, and maintenance costs. The installation and operation of the equipment should conform to the standards and requirements of RUZ and the World Bank.

The requirements for equipment:

- a) Must be new and conform to the objectives of the subproject;
- b) Must contain all the necessary units and components;
- c) The cost should include the cost of delivery, installation, and maintenance of the equipment for the entire period of the project;
- d) It should be possible to dismantle and re-install the equipment without significant cost losses;
- e) The equipment must ensure the quality of production that complies with RUZ or international standards;
- f) The equipment must have a certificate of origin from the manufacturer or an authorized dealer in the territory of RUZ;
- g) The equipment purchase must be accompanied by a warranty and post-warranty service, staff training, the availability of prompt repairs, troubleshooting, etc.; and
- h) The installation and operation of the equipment must comply with the environmental standards and the requirements of RUZ and the Bank.

The equipment purchased at the expense of Grant funds should be used exclusively for project/subproject purposes during the implementation period.

- **Travel expenses**

Local and overseas business travel. Travel expenses may include visa and consular fees, conference registration fees, and other reasonable travel expenses. All trips must be coordinated with and approved by PIU. A preliminary travel plan with a cost estimate should be provided at the time of proposal submission. All travel costs must be aligned with the requirements prescribed by the local legislation.

** - salary rates must be calculated based on President Decree No. 6279 dated 08/17/2021.*

- **Laboratory materials and supplies**

This category relates to the purchase of laboratory supplies, including taxes, fees, transportation costs, customs clearance (services of customs brokers), and storage.

- **IP protection and publications**

The Grant covers the costs associated with the protection of intellectual property objects obtained as a result of the sub-project and the costs of publishing the results of the research

- **Third-party services**

This category relates to the acquisition of professional and consulting services of third parties, which are not included in the Group. Procurement of services necessary for the implementation of the sub-project is allowed. Acquiring services at clearly overpriced prices, as well as acquiring services from providers without appropriate permits in the area of licensing and certification is prohibited.

- **Overhead and other expenses**

This category is used to finance other expenses related to the implementation of the sub-project, including the rental of office and industrial premises. Covering the tax liabilities of the group, in particular, the payment of the property, land, and transport taxes from grant funds is prohibited. Overhead expenses must not exceed 10% of the total grant amount as prescribed by the REP GFM.

- **Ineligible expenses**

Unallowable expenses that cannot be expensed include:

- a) Payment of bonuses, vacation pay, benefits, compensation, and financial aid;
- b) Entertainment, amusement, and social activities, and any costs directly associated with such activities;
- c) Alcoholic beverages;
- d) Advertising designed to promote an entity or its products (e.g., branding fees);
- e) Promotional items and memorabilia, including models, gifts, and souvenirs;
- f) Salary compensation that exceeds the allowable limit as indicated above;

- g) Commercial insurance costs;
- h) Acquisition of land, real estate, or transportation vehicles;
- i) Other goods, works, and services not related to project implementation;

If any expenditures are found in the application that exceeds the limits established by this Manual or fall under the category of ineligible expenditures, these funds are not accepted for expenditure and are not subject to reallocation.

2.6. Ethics

36. Every sub-project funded by the MUNIS is subject to an ethics review process.

37. The process is aimed at ensuring that all the research and innovation activities under MUNIS comply with applicable Uzbekistan's and international laws, as well as with the following core science & research ethical principles:

- 1) **Honesty:** ensure honesty in all forms of scientific communication with colleagues, sponsors, and the public.
- 2) **Objectivity:** avoid bias in all aspects of research.
- 3) **Integrity:** maintain consistency of thought and action.
- 4) **Carefulness:** avoid errors or negligence at all times.
- 5) **Openness:** share information about your research and be open to criticism and new ideas.
- 6) **Transparency:** disclose all the necessary information needed to evaluate your research.
- 7) **Accountability:** be responsible for all concerns related to your research.
- 8) **Intellectual property:** avoid plagiarism, give proper credit to all contributions in your research and honor all forms of intellectual property.
- 9) **Confidentiality:** protect and safeguard all confidential information recorded in your research.
- 10) **Responsible publication:** publish for the sole reason of advancing the knowledge in your field.
- 11) **Responsible mentoring:** help and mentor other researchers and promote their welfare.
- 12) **Respect for colleagues:** respect and treat all your colleagues fairly.
- 13) **Social responsibility:** aim to promote social good through your research.
- 14) **Non-discrimination:** avoid discrimination in all forms against colleagues.
- 15) **Competence:** improve your competence and promote the competence of science as a whole.
- 16) **Legality:** obey all relevant laws and policies.
- 17) **Animal care:** respect and care for all animal species.

- 18) **Human subjects' protection:** respect human dignity and take special precautions wherever needed.
- 19) **Effectiveness:** put all efforts to reach set objectives.
- 20) **Efficiency:** achieve more output with less input.
- 21) **Economy:** put all due efforts to save the grants funds.

38. The ethics review procedure concerns all sub-projects funded by the MUNIS project. The applicants should pay particular attention to the ethical aspects of the proposed work and shall submit an "ethics-ready" proposal.

39. Open science is an important principle of the MUNIS project. REP grantees should commit to the principle of open access to the published output of research, including peer-reviewed articles and monographs. The REP also supports the basic principle of open access to research data. MUNIS considers that providing free online access to all these materials can be the most effective way of ensuring that the products of its funded research can be accessed, read, and used as the basis for further research and development.

40. Beneficiaries of REP grants must ensure open access to all peer-reviewed scientific publications relating to their results as set out in the Grant Agreement.

2.7. Environmental and Social Framework

41. The WB Environmental and Social Framework (ESF) is the primary guidance that ensures compliance with the measures of environmental protection policies in the MUNIS project implementation process. Specific details about ESF applicable compliance processes and requirements will be part of each CfP guidance and instructions.

42. REP grant proposal needs to be prepared taking into account the requirements set in World Bank Environmental and Social Standards (ESS) which are an integral part of the World Bank's ESF. Only the requirements of ESS 1, 2, 3, 4 and 10 are relevant under the MUNIS Project.

43. All REP grant proposals will be screened by PIU based on the ESF, which outlines the guiding principles of environmental screening, assessment, review, management, and monitoring procedures. The environmental due diligence procedures identified in the ESF comply both with the Uzbek national laws and regulations, as well as the World Bank's Environment and Social Framework.

44. All proposals will also be checked for compliance with the Environmental and Social Commitment Plan (ESCP) of MUNIS which sets out material measures and actions, any specific documents or plans, as well as the timing for each of these.

45. PIU environmental and social staff will carry out a rapid assessment of the likely environmental and social impact, that will be based on the requirements of national legislation and WB ESSs, completing the screening form presented in Annexes 3 and 4 of the Environmental and Social Management Framework (ESMF) prepared for the MUNIS Project. Sub-project activities will be also checked against WB criteria for High-Risk Projects mentioned in Annex 2 of ESMF. This will make it possible to identify the type and scale of potential environmental impacts and determine to which risk category the sub-project should be attributed. Generally, the significance of impacts and

risks, contribute to resulting environmental and social risk will depend on the *type* and *scale* of the subproject, its *location*, *sensitivity* of environmental and social issues, and the *nature* and *magnitude* of potential risks and impacts.

46. According to the ESMF of the MUNIS Project, each proposal will be evaluated within the frame of four main categories: Low, Moderate, Substantial and High. The proposals screened under “Substantial” or “High” Environmental and Social Risks will not be financed by MUNIS Project.

2.8. Call for Proposals

47. The MUNIS REP grant applications can only be submitted in response to a “Call for Proposals (CfP)” and only via the online submission service. REP grant CfP will be announced and published on the MUNIS project website, other web platforms chosen by the PIU, and selected media. To enrich the competition, the grant competition will receive considerable media promotion.

48. The MUNIS project can announce indicative dates for the opening of the CfP, as well as their respective deadlines. The definite dates are published during the opening of each CfP.

49. With a view to smooth planning of the evaluation and the planned time limits for informing applicants of the outcome of evaluations, each CfP requires applicants to go through an online authorization stage. Applicants will be informed of what information they need to provide. They will also receive guidance and key references about supporting documents like the GFM, the WB ESF, and the Grant Agreement model for the REP grants.

2.9. Deadline for submission of grant proposals

50. Proposals should be submitted by the deadlines, established in the CfP.

51. The deadlines established in the CfP will be set for preliminary first stage- 20 business days and full second stage proposals- 20 business days.

3. PROPOSALS ELIGIBILITY PRINCIPLES

52. Each REP grant CfP establishes specific eligibility criteria. Proposals should meet all eligibility criteria in alignment with the set of principles defined in this section, in the GFM and the specific grant call.

53. A minimum list of required documents (on the stage of submission of preliminary grant proposal):

- an application form completed as per Annex A.

54. A minimum list of required documents (on the stage of submission of full grant proposal):

- an application form completed as per Annex B (complete) of this manual with the attached implementation plan, responsibility matrix of all team members, cost estimate, procurement plan and supporting documents for budget justification; certificate of registration of HI;
- document confirming HI's accreditation as an entity engaged in scientific activities;
- Host Institution and Principal Investigator Joint Declaration, using the form in Annex C;
- supporting documents of qualification and scientific (or academic) degree of all team members;

55. Additional documents:

- memoranda of cooperation with partners or customers of products or technology;
- letter of support from stakeholders;
- other supporting documents.

3.1. Eligible Principal Investigator (PI)

56. Research proposals must be submitted by eligible PIs. A PI should name a Co-Principal Investigator (Co-PI) who can replace him/her in leading the project in case of unforeseen circumstances.

57. Scientific achievements of the PI will be evaluated based on the publications, participation in the implementation of international grants, recommendations from international colleagues and experience of scientific cooperation with research teams with an international reputation. The PI needs to have the skills of management and implementation of research projects. The PI is personally responsible for achieving the goals of the sub-project, for purposeful and effective use of funds, as well as for the potential commercialization aspects of the research results.

58. MUNIS REP grants are open to PIs from local PROs or HEIs, who intend to conduct their research activity. The research team can be of national or trans-national character. Grant proposals are submitted by the PI taking scientific responsibility for the project, on behalf of a host institution (HI). Participation of female researchers and female-led subprojects will be encouraged.

3.3. Language of proposals

59. The project proposal must be written and submitted in English. As an option, an Uzbek or Russian version can be also submitted together with the English version. Due to the international nature of the review process, the English version will be considered the main version of the proposal.

3.4. Submission restrictions

60. A researcher may participate as a PI or Co-PI in only one MUNIS grant sub-project at any time.
61. A researcher participating as the PI or Co-PI in a REP, or any other MUNIS project grant cannot submit a proposal for another MUNIS grant unless the existing project ends within six months of the CfP deadline.
62. If a PI or Co-PI applies to more than one MUNIS call (i.e., from the same 'call year'), only the first eligible proposal will be evaluated, as other proposals will be declared ineligible.

4. EVALUATION AND ADMISSIBILITY PRINCIPLES

4.1. Peer-reviewers

63. The MUNIS project relies on independent international peer-review experts to ensure that only proposals of the highest quality are selected for funding. The MUNIS PIU will be responsible for the identification, selection and hiring (with or without remuneration), following FA and POM guidance, of independent reviewers at the different REP stages. The PIU will set out the applicable conditions, including the code of conduct, and provisions on conflicts of interest for both mentioned models.

4.2. Evaluation and peer-review process

64. The selection process has two stages: preliminary applications and full (completed) applications. The PIU checks formal compliance at the preliminary and full application stages, stipulated in section 3.

65. Administrative check for completeness of application and submission of all necessary docs (PIU) within -10 business days. In case of multiple resubmission or if the documents submitted are incomplete, the application is rejected and PIU emails the applicant about the rejection reason.

66. After the PIU review, the application is sent to two independent experts for peer review, per the evaluation process described in Annex E, which takes no longer than 11 weeks. In the case of different assessments from two experts (one positive and one negative), the application is sent to a third expert. If a third expert is involved, the expert review will take no more than 14 weeks.

67. After receiving the evaluation of independent experts, the PIU within 2 business days sends the applications and the evaluation of independent experts to the IEB for review.

68. IEB evaluates the preliminary applications taking into account the evaluations of independent experts, and makes a shortlist of applications that pass to the next stage, within no more than 10 business days.

69. Applicants must be notified by PIU through e-mail or the Project website about the admission or rejection to the next stage within 2 business days from the date of submission of the shortlist by IEB.

70. After receipt of the notification of admission to the next stage, the applicant must submit a full proposal with all supporting documents via the Project website within 20 business days.

71. If the full proposal is not submitted within 20 business days, the application is automatically rejected.

72. The PIU, after receiving full proposals, within 2 business days sends them for evaluation by independent experts in accordance with paragraph 61.

73. Upon receipt of the independent experts' evaluation, the PIU shall, within 2 business days, send them to the IEB.

74. After receiving full proposals, the IEB will, within 10 business days, form the list of applicants to be invited to the pitching session.

75. Applicants must be notified by the PIU through e-mail or the Project website of their admission or rejection to the next stage within 2 business days from the date of submission of the shortlist by IEB. If admitted, the date and time of the IEB hearing.
76. The IEB hearing of applicants (pitching) can take place either in person or by videoconference.
77. Based on the results of the pitching, the IEB will sign a protocol of award.
78. The complete application and evaluation process is presented in Annex E of this Manual.
79. A list of the awarded proposals will be published on the project website and communicated to selected applicants with further instructions via email. All other shortlisted applicants who submitted a full proposal will receive feedback regarding their application status via email.
80. IEB decisions are final and cannot be challenged. Acceptance of this rule is mandatory to participate in the REP grants program.

5. AWARD AND GRANT AGREEMENT

81. The PIU will ensure timely and transparent publication of information about the announcement, application, evaluation, awarding process and key documents like the Grant Agreement model, through the project portal.
82. Based on the final award decision of the IEB, the PIU concludes Grant Agreements with the host institutions of the applicants. The Grant Agreement must comply with all relevant rules and procedures of the World Bank and there is subject to Bank's clearance before signing.
83. The IEB's final award decision may include conditions to be accepted by the grantee to receive funding. Such conditions can be the modification of the requested budget, the inclusion of additional research activities, the improvement of research methodology and other activities aiming at the improvement of research quality and impact.
84. Detailed grant implementation guidance will be included in the GFM and the Grant Agreement. Such mechanisms will strike the right balance between making the process less onerous on the grantee and preventing wastage and fraud at the same time.
85. If the Grant Agreement is not signed by the grant recipients within 30 calendar days from the date of official notification of the winners, the proposal will be rejected and the next best-scored proposal from the waiting list will be called.

6. MONITORING AND EVALUATION

86. The grantee should maintain basic financial and accounting controls required to keep records of the REP grant funds utilization, supported by the financial specialist/accountant of the HI, satisfactory to provisions of the GFM. MUNIS' PIU procurement and financial specialists will be responsible for guiding grantees to ensure full compliance with applicable grant management rules.

87. Any changes to the sub-project objectives or procurement plan during its execution require IEB and PIU approval as per Grant Agreement.

88. Grants may be subject to external audit on the terms of references stated in the Grant Agreement.

89. Grant implementation reports should be submitted to the MUNIS PIU in the terms stated in the Grant Agreement.

90. Technical reports should be provided by the Grantee twice a year, within 15 days after the 5th month and 15 days after the 11th month of the reporting year. The final technical report needs to be presented within 15 working days from the date of completion of the project. Semi-annual, annual and final technical reports should contain all the relevant technical information on the implementation of the sub-project necessary for an objective evaluation of results. Financial reports are divided into current and final. Current financial reports should be provided quarterly no later than the 5th day of a month of the next reporting period. The PIU carries out regular monitoring and technical progress and fiduciary compliance. The IEB evaluates the implementation progress of the awarded sub-projects through semiannual visits, prepared and facilitated by PIU. As a result of the progress, the IEB may recommend (conditional) continuation or suspension/cancellation of a given sub-project. A sub-project may be suspended or cancelled in the case of non-compliance with the fiduciary requirements described in the GFM and Grant Agreement.

91. Detailed monitoring and evaluation guidance, framework on administrative, financial, and technical aspects are included in the REP GFM.

7. CLOSING

92. When completed, the grantee will provide feedback on the REP experience, learning, best practices, challenges, and its potential improvement to the PIU as part of the subproject completion report.

93. Detailed closing criteria, reporting and legal and administrative processes are included in the Grant Agreement and REP GFM.

94. Hierarchy of Documents. In the event of any conflict or inconsistency among the following documents, the order of precedence will be:

- a) The Financing Agreement signed between the Republic of Uzbekistan and the International Development Association of the World Bank;

- b) MUNIS Project Appraisal Document;
- c) MUNIS Project Operations Manual;
- d) Grant Fiduciary Manual;
- e) REP Grant Program Manual / Grant Fiduciary Manual;
- f) Grant Agreement.

95. Prevailing Language. In the event of conflict between the two versions, the English version will prevail.

8. Annexes

Annex A - PRELIMINARY PROPOSALS

Annex B - FULL PROPOSALS

Annex C - JOINT DECLARATION FORM (HI and PI)

Annex D - TEAM MEMBERS ROLES AND RESPONSIBILITIES FORM

Annex E - SRG/JRG GRANT PROGRAM SUB-PROJECT SELECTION PROCESS

Annex A: Preliminary Proposal Template

Preliminary Proposal Template

Guidelines: Font Type: Calibri. Font size: At least 10. Line spacing: Single. The project proposal must be written in English. As an option, an Uzbek or Russian version can be also submitted together with the English version. In fairness to all applicants, the page limits will be strictly applied. Only the material that is presented within these limits will be evaluated. Peer reviewers will only be asked to read the material presented within the page limits and will be under no obligation to read beyond them.

A1. PROJECT ACRONYM SECTION

Proposal title:

Click here to enter text.

Technology area:

Click here to enter text.

Project duration:

Click here to enter text.

Abstract (max. 1/2 page):

Click here to enter text.

Note: The abstract (summary) should, briefly, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. The abstract will be used as the short description of your research proposal in the evaluation process and in communications to contact. It must therefore be short and precise and should not contain confidential information.

Keywords:

Click here to enter text.

Note: Indicate up to four keywords that cover your proposal subject.

A2. PARTICIPANTS SECTION

2.1. INFORMATION ON PRINCIPAL INVESTIGATOR (PI)

Name of the Principal Investigator (PI)

CLICK HERE TO ENTER TEXT.

Note: PI is responsible for the successful implementation of the project: on time, with the required quality, with a fixed budget, and expected to lead the team and devote a significant amount of time to the project, namely PI should spend a minimum 50% of working time.

Professional title and work position within your home institution

CLICK HERE TO ENTER TEXT.

Home institution and department approving this research project

CLICK HERE TO ENTER TEXT.

Passport details:

CLICK HERE TO ENTER TEXT.

INN (PTN)

CLICK HERE TO ENTER TEXT.

Uzbekistan residence details (country, postal address)

CLICK HERE TO ENTER TEXT.

Foreign residence details (country)

CLICK HERE TO ENTER TEXT.

Contact details (Home phone, Work phone, Mobile phone, email)

CLICK HERE TO ENTER TEXT.

Mailing address, telephone and fax numbers, and email address

CLICK HERE TO ENTER TEXT.

2.2. INFORMATION ON THE CONTACT PERSON (WHO FILLED THE APPLICATION)

Name, professional titles and/or work position within your host institution

CLICK HERE TO ENTER TEXT.

Host institution and department supporting this research project

CLICK HERE TO ENTER TEXT.

Mailing address, telephone and fax numbers, and email address

CLICK HERE TO ENTER TEXT.

2.3. INFORMATION ON THE PROJECT TEAM MEMBERS

	First Name, Family Name, Middle name	Home institution, Department, Position	Birth Year	Scientific Title	Function in project	M/F	Contact info (tel., e-mail)
1.					PI		
2.					Co-PI		
3.							
4.							
5.							
....							

A3. PROJECT SUMMARY SECTION

Project objective (max 1/4 page):

Click here to enter text.

Note: Succinctly state the primary objective of the project, specifically stating the problem, or identifying the gap in knowledge or unmet need(s), that this project addresses.

General approach (max. 1 page):

Click here to enter text.

Note: Identify the concept and hypotheses to be tested. Give the principal methods and the general design of experiments. Underline any novelty or uniqueness of the methodological approach for solving the problem.

Expected Results and Significance (max. 1/4 page):

Click here to enter text.

Note: Describe scientific, technical, commercial, or other results that will be achieved in the framework of this project and how this will be important in your country and/or internationally.

Facilities (max. 1/2 page):

Click here to enter text.

Note: Briefly describe facilities and principal equipment available for conducting the experiments. If the proposed studies are dependent on the acquisition of major equipment or facility upgrades, please specify.

Requested resources and Time Frame (max. 1/4 page):

Click here to enter text.

Note: Provide the expected duration of the project. A detailed budget is not required at this time, but an estimate of total funds required may be provided.

A4. ETHICS, ENVIRONMENTAL, and SECURITY SECTION

Ethics issues	Mark "Yes" or "No"	Page (If an answer is "Yes", then indicate in at which page in your full proposal further information relating to that issue can be found)
1. HUMAN EMBRYOS/FETUSES		
Does your research involve Human Embryonic Stem Cells (HESCs)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research involve the use of human embryos?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research involve the use of human fetal tissues / cells?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
2. HUMANS		
Does your research involve human participants?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research involve physical interventions on the study participants? Yes No	Yes <input type="checkbox"/> No <input type="checkbox"/>	
3. HUMAN CELLS / TISSUES		
Does your research involve human cells or tissues (other than from Human Embryos/ Fetal Tissue, i.e., section 1)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
4. PERSONAL DATA		
Does your research involve personal data collection and/or processing?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research involve further processing of previously collected personal data	Yes <input type="checkbox"/> No <input type="checkbox"/>	
5. ANIMALS		
Does your research involve animals?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
6. FOREIGN COUNTRIES		
In case foreign countries are involved, do the research related activities undertaken in these countries raise potential ethics issues?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Do you plan to use local resources (e.g., animal and/or human tissue samples, genetic material, live animals, human remains, materials of historical value, endangered fauna, or flora samples, etc.)?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Do you plan to import any material - including personal data - from foreign countries into Uzbekistan?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Do you plan to export any material - including personal data - from Uzbekistan to foreign countries?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
In case your research involves low and/or lower middle-income countries, are any benefits sharing actions planned?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Could the situation in the country put the individuals taking part in the research at risk?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
7. ENVIRONMENT & HEALTH AND SAFETY		
Does your research involve the use of elements that may cause harm to the environment, to animals or plants?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research deal with endangered fauna and/or flora and/or protected areas?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Does your research involve the use of elements that may cause harm to humans, including research staff?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
8. DUAL USE		
Does your research involve dual-use items or other items for which an authorization is required?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
9. EXCLUSIVE FOCUS ON CIVIL APPLICATIONS		
Could your research raise concerns regarding the exclusive focus on civil applications?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
10. MISUSE		

Does your research have the potential for misuse of research results?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
11. OTHER ETHICS ISSUES		
Are there any other ethics issues that should be taken into consideration?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Please specify these other issues here:		

I confirm that I have considered all ethics issues described above and that, if any ethics issues apply, I will complete the ethics self-assessment and attach the required documents.

(please check this box)

Annex B: Full Proposal Template

Full Proposal Template

Guidelines: Font Type: Calibri. Font size: At least 10. Line spacing: Single. Margins – no less than 1.5 cm on all sides. The project proposal must be written in English. As an option, an Uzbek or Russian version can be also submitted together with the English version.

In fairness to all applicants, the page limits will be strictly applied. Only the material that is presented within these limits will be evaluated. Peer reviewers will only be asked to read the material presented within the page limits and will be under no obligation to read beyond them.

B1. RESEARCH PROPOSAL SECTION

Proposal title:

Click here to enter text.

Technology area:

Click here to enter text.

Name of the Principal Investigator (PI):

Click here to enter text.

Note: PI is responsible for the successful implementation of the project: on time, with the required quality, with a fixed budget, and expected to lead the team and devote a significant amount of time to the project, namely PI should spend a minimum 50% of working time.

PI should highlight a Co- investigator (Co-I). In case of any unfortunate reasons, the Co-I should lead the project.

Name of the PI's host institution for the project:

Click here to enter text.

Other Participating Institutions:

Click here to enter text.

Project duration:

Click here to enter text.

Abstract (max. 1/2 page):

Click here to enter text.

Note: The abstract (summary) should, briefly, provide the reader with a clear understanding of the objectives of the research proposal and how they will be achieved. The abstract will be used as the short description of your research proposal in the evaluation process and in communications to contact. It must therefore be short and precise and should not contain confidential information.

Keywords:

Click here to enter text.

Note: Indicate up to four keywords that cover your proposal subject.

Research domain(s) of this research project:

Click here to enter text.

Note: Explain and justify the domain nature (single research domain or cross-domain nature) of the proposal.

Background and objectives (max. 5 pages including references):

Click here to enter text.

Note: Research background is a brief outline of the most important studies that have been conducted so far presented in a chronological order. Research background should also include a brief discussion of major theories and models related to the research problem. When writing research background, you also need to demonstrate how your research relates to what has been done so far in this research area.

Research background should include:

A clear justification for the study, clearly stating the problem that is being addresses, identifying the gap in knowledge that will be resolved by the study. Clearly delineate the significance of the study in meeting the needs of the country and/or population.

Summarize information on previous studies and on published research on this topic.

Explain what hypotheses or research question(s) this activity is designed to answer, its assumptions and its variables.

Please state specific objectives and/or aims.

Provide, as appropriate, graphs, pictures, or diagram to illustrate your explanation.

Research ethics:

Click here to enter text.

Note: Provide a definition of the ethical issues and considerations that you believe are implicit to this research project, and when appropriate, explain how you will deal with them. Summarize the ethical issues arising from the study and how they will be dealt with.

Research methodology and procedures (max. 15 pages including references):

Click here to enter text.

Note: Indicate and describe the scientific and technical approach, methods and methodologies that will be used to achieve the objectives of the project. Describe the proposed methodologies in detail, including any key intermediate goals. Explain and justify the methodology in relation to the state of the art, and particularly novel or unconventional aspects addressing the 'high-risk/high-gain' balance. Highlight any intermediate stages where results may require adjustments to the project planning. In case team members are engaged by another host institution, their participation must be fully justified by the scientific added value they bring to the project.

Research methodology and procedures should include:

- Study design.
- Research procedures (please use non-technical language).
- Source, amount, or dose of the products/materials.
- Information (about the type of specimen, amount, use and destination) if shipment is required.
- Expected results, potential problems, and alternative approaches. The proposal should explain what results are expected upon completion of the study; in case experimental data do not correspond to the expected results, describe what are the potential factors contributing to this or how the initial hypothesis will be modified.

Study location:

Click here to enter text.

Note: Include a statement about the site(s) where the study will take place. Attach letters of cooperation.

Benefits and value to Uzbekistan:

Click here to enter text.

Note: Describe concisely and realistically the benefits of the proposed study for participant and for society. The value of the proposed research to Uzbekistan should be described, particularly the relevance to the industrial base in the areas of technology concerned or other strategic sectors of the economy. A description of potential positive impacts on the economy and society at large should be as clearly elucidated as possible.

Innovation and potential for commercialization of the proposed research:

Click here to enter text.

Note: Identify the aspect of the proposal that are innovative and describe what socio-economic or commercial impact it will have if successful. If possible, identify the new horizons or opportunities for science, technology, or scholarship that the proposed studies will bring, justification of the sustainability of project results.

Risks and response strategies:

Click here to enter text.

Note: Applicant should highlight potential adverse events and proposed interventions.

Confidentiality of research data:

Click here to enter text.

Note: How to deal with direct identifiers, data storage, access, and use.

Early achievements track-record (max. 2 pages):

Click here to enter text.

Note: Should list important achievements of PI, including his/her most important publications (up to five for Junior Researcher Grants (JRG) and up to ten for Senior Research Grants (SRG)) highlighting that as main author and/or without the co-authorship of your PhD supervisor. The publications should be properly referenced, including all authors in the published order. Field relevant bibliometric indicators as well as research monographs and any translations thereof may also be included. If applicable, include the followings: granted patent(s); invited presentations to internationally established conferences and/or international advanced schools; Prizes/Awards/Academy memberships etc.

Funding Table of Principal Investigator (PI):

Project Title	Funding source	Amount (USD)	Period	Role of the PI	Relation to current MUNIS proposal
Current grants					
On-going and submitted grant applications (Please indicate "None" when applicable):					

B2. BUDGET SECTION

Resources:

Click here to enter text.

Note: Provide information on available and requested resources.

Available resources: should be listed out the available resources to execute the project such as laboratory equipment and laboratory space, chemicals, and materials, etc.

Requested Resources: This sub-section should include details of all requested human resources, equipment, materials, and consumables, as well as details of transportation facilities and travel arrangements that may be needed in the execution of field work. Give details of all relevant costs.

Financial information:

Estimated Project Costs (US \$)

Cost Category	Amount
Direct personnel costs (PI, senior staff, postdocs, students, other personnel costs)	
Subcontracting costs (no indirect costs)	
Purchase costs [travel and subsistence, equipment (including major equipment), consumables (including fieldwork and animal costs), publications (including any costs related to Open Access fees) and dissemination, and other additional direct costs]	
Internally invoiced goods and services (no indirect costs)	
Internal audit	
Overhead expenses (%)	
Estimated total cost of the project	

Direct personnel costs (US \$)

Staff Category	Qty	Cost (US \$)
PI		
Senior staff		
Postdocs		
Students		
Supporting personnel		
Other		
Subtotal:		

Subcontracting costs

Subcontractor	Description	Cost (US \$)
<i>Subtotal:</i>		

Purchase costs Equipment description

Purchase Category	Description	Cost (US \$)
Equipment		
Materials		
Chemicals		
Travel		
Publications		
Other		
<i>Subtotal:</i>		

Internally invoiced goods and services

Goods and services	Description	Cost (US \$)
<i>Subtotal:</i>		

Funding Sources

Estimated total cost of the project (US \$)	
---	--

Financial Sources

Financial Source	Written confirmation (Y/N)	Amount (US \$)
Requested from the REP MUNIS		
Other financial source 1:		
Other financial source 2:		

Non-Financial Sources

Source	Short description of the contribution	Written confirmation (Y/N)	Estimated amount (US \$)

Management plan:

Click here to enter text.

Note: Provide organizational structure for the project and relationships among personnel. Indicate how each member of the project team would be involved (with durations) in executing specific tasks/deliverables relating to the project.

Work schedule chart:

Key stage description	Q 1	Q 2	Q 3	Q 4	Q 5	Q 6	Q 7	Q 8	Q 9	Q 10	Q 11	Q 12
Stage 1												
Substage 1												
Substage 2												
Stage 2												
Substage 1												
Substage 2												
Stage 3												
Substage 1												
Stage 4												
Substage 1												
Substage 2												

Annex C: Host institution and Principal Investigator Joint Declaration

We hereby declare that we support the application of (Proposal title) submitted for the call for proposals in the framework of the RESEARCH EXCELLENCE PROGRAM of the MUNIS Project.

We declare that we have read the terms and conditions stated in Grant Program Manual relating to applications for funding and that the information given in this application is complete and correct.

The institution has not committed any financial or other indiscretion in the implementation of any previous funded programme.

We declare that the research presented in this application has not been funded previously.

We consent to the information collected on this form being stored electronically and used to process my application. We consent to the information being sent to the MUNIS Project Implementation Unit or to third parties for the purposes of assessing and reviewing the application.

In case of successful application, the Host Institution (HI) will guarantee:

1. To provide the necessary infrastructure (rooms, furniture, maintenance services, the use of communal facilities, safe installation, storage and operation conditions etc.) in accordance with existing regulations and legal measures of the HI;
2. To open and maintain a separate account for the sub-project in a Bank acceptable for PIU and only PI should have authority to sign off the use of funds;
3. To provide all necessary fiduciary support to the grantee through HI's financial and procurement departments;
4. To grant full authorization for the PI to solely decide on the use of grant funds without undue influence/blocking from HI management;
5. To appoint the PI as the chairperson of tender committee on all procurement items pertaining to the sub-project.

The Host Institution declares that the above support and conditions will apply to the project even in the possible case of an organisational, legal or any other change in the status of the institution.

Date:

Official Stamp and signature:

Signature:

.....
Head of the Host Institution Name

.....
Principal Investigator Name and Title

Annex D: Team Members Roles and Responsibilities Form

Proposal title:

Date:

The purpose of this document is to clearly articulate the different roles within a project team and the duties each role/person is responsible for. Please fill in and adapt this document to what is needed for the project (Principal Investigator should sign off).

Project participant/ specialist	Role	Name
Principal Investigator (PI)	Principal Investigator (PI) is an individual who assumes full responsibility for a research project, including but not limited to, the recruiting, training, and oversight of research assistants, as well as for the overall research administration, reporting and leadership.	(Name of Individual)
Responsibilities		
Plan, coordinate and execute a research sub-project Lead research team to complete sub-project within allotted timelines and budgets Develop and enforce research policies and procedures Identify resources, people, processes, systems and tools Create the plan to achieve the task - deliverables, measures, timescales, strategy and tactics Set standards, quality, time and reporting parameters Perform day-to-day management of project team and address any team issues promptly Conduct team meetings to discuss sub-project status and issues Monitor and maintain overall performance against plan Report on progress towards the sub-project's aim Act as primary contact for communications with PIU		
% of Time (<i>minimum of 50%</i>)		

Project participant/ specialist	Role	Name
Co-Principal Investigator (Co-PI)	Co-PI works with the PI to implement the study. Co-Principal Investigator (Co-PI) can replace PI in leading the project in case of unforeseen circumstances.	(Name of Individual)
Responsibilities		
Co-PI performs all or some of the PI functions, but he/she do not accept primary responsibility for the research study. Co-PI is under the supervision of the PI is responsible for performing study-related procedures and /or making important study-related decisions in compliance with the ethical conduct of the study.		
% of Time		

Project Team Members

Team member roles will vary depending on the type of project. Team members may comprise research scientists, technology development specialists, co-investigators, fractional or pooled staff, technical support staff, postgraduate research students, etc.

Project participant/ specialist	Role	Name
Co-executing institute manager (CEM)	Play a role in managing a team/group of participating institute	(Name of Individual)
Responsibilities		
Manage the operation and admin the team of participating institute (1) Oversee all activities within a team Decide how to approach tasks assigned to institute and develop a plan to accomplish them Distribute information to team members Keep track of and structure various tasks, employees and documents Determine the goals that members will work toward Report on progress to PI Act as primary contact for communications with PI		
% of Time		

Project participant/ specialist	Role	Name
Biological study (BS)	Involves in planning and conducting experiments and analysing results	(Name of Individuals)
Responsibilities		
Create and conduct experiments Process and analyse results and data Communicate results to the scientific community via published papers Collaborate with industry/academia to apply the results of research and develop new techniques, products or practices Attend the scientific conferences and present ongoing work and findings to colleagues, and summarise the nature of the research methodology and results Carry out fieldwork Keep up to date with the work of other scientists Report on progress to GL		
% of Time		

Project participant/ specialist	Role	Name
Technology development (TD)		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Material design (MD)		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Theoretical investigation (TI)		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Consultant (CT)	Budgeted for a certain period of time to work on specific tasks.	(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Research assistant (RA)		(Name of Individuals)
Responsibilities		
Assists the PI in taking the study to the field. Manages the project data.		
% of Time		

Project participant/ specialist	Role	Name
Laboratory assistant (LA)		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Support person (SP)		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Translator (TR)		(Name of Individual)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
Marketing (MR)		(Name of Individual)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
		(Name of Individuals)
Responsibilities		
% of Time		

Project participant/ specialist	Role	Name
		(Name of Individuals)
Responsibilities		
% of Time		

Name & Signature of Principal Investigator:

Annex E - SRG/JRG Grant Program Sub-project Selection Process

