

REPUBLIC OF UZBEKISTAN
MODERNIZING UZBEKISTAN'S NATIONAL INNOVATION SYSTEM PROJECT

**SUBCOMPONENT 1.3. PUBLIC RESEARCH INSTITUTES MODERNIZATION
PROGRAM (PRIM)**

GRANT PROGRAM MANUAL

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ABBREVIATIONS AND ACRONYMS

CfP	Call for Proposals
EOI	Expression of Interest
Executing Agency	Agency of Innovation Development under The Ministry of Higher Education, Science and Innovation
FA	Financing Agreement
GA	Grant Agreement
GFM	Grant Fiduciary Manual
GOU	Government of Uzbekistan
IEB	International Expert Board
AID	Agency of Innovation Development under The Ministry of Higher Education, Science and Innovation
IMP	Institutional Modernization Plan
MHESI	The Ministry of Higher Education, Science and Innovation
MUNIS	Modernizing Uzbekistan National Innovation System
OWG	Operational Working Group
PDO	Project Development Objective
PIU	Project Implementation Unit
POM	Project Operations Manual
PRI	Public Research Institute
PRIM	Public Research Institutes Modernization Program
TOR	Terms of Reference
WB	World Bank

INTRODUCTION

1. The Agency of Innovation Development under The Ministry of Higher Education, Science and Innovation (AID - Executing Agency) 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 Executing Agency, 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. The MUNIS Project is comprised of 4 components:
 - 1) Improving research excellence and commercialization;
 - 2) Promoting innovation in the private sector;
 - 3) Supporting STI policymaking 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. MUNIS PRIM grant is the instrument of the Subcomponent 1.3 - Research Excellence Program of the MUNIS Project. The PRIM supports the design and implementation of activities contributing to the modernization (capacity-building) of PRIs. The MUNIS Project Development Objective (PDO) aims to enable the development of a market-oriented national innovation system in Uzbekistan. The total available budget for the PRIM matching grant program is US \$6 million.
8. This document constitutes the PRIM Grant Program Manual (PRIM GPM), providing a program description and defining key program principles, methods, guidelines, and procedures regulating the scope, application, and selection processes. This PRIM GPM is complemented by a second document, the PRIM Grant Fiduciary Manual (PRIM GFM). The PRIM GFM sets forth rules, methods, guidelines, accountability aspects, implementation arrangements, and procurement procedures regulating the execution of the selected sub-projects.
9. This PRIM GPM document is composed of eight (8) sections:
 - (i). MUNIS PRIM Governance
 - (ii). Objectives and components
 - (iii). Funding principles
 - (iv). Eligibility requirements
 - (v). Evaluation and admissibility principles

- (vi). Award and grant agreement
 - (vii). Monitoring and evaluation
 - (viii). Closing
 - (ix). Annexes.
10. The primary objective of the PRIM Grant Program is to facilitate the strategic approach to the modernization of public research institutes/organizations in Uzbekistan, to support their comprehensive modernization efforts. PRIM Grant Program catalyzes the strategic modernization of public research organizations in Uzbekistan.
 11. All information (including this document) related to the MUNIS Project and the PRIM is available at the Project website: <https://wbgrants.uz/>

1. MUNIS PRIM GOVERNANCE

12. 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 Executing Agency in June 2021 sets out the operational, fiduciary, and administrative procedures for implementing 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.
13. Per the above-described framework, the Executing Agency 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.
14. The governance structure of the PRIM grant involves multiple entities responsible for different aspects of project management and decision-making. The governance framework includes the Executing Agency, PIU, Operational Working Group (OWG), and International Expert Board (IEB). The Project Implementation Unit (PIU) serves as the central body responsible for overall project management and coordination. The PIU will oversee the implementation of the PRIM project, ensuring that activities are carried out according to the grant's objectives, timeline, and budget.
 - (i). **The Project Implementation Unit (PIU).** The PIU provides day-to-day management and implementation of MUNIS activities following the procedures outlined in this Manual, the GFM and the POM. The PIU also monitors fiduciary activities, such as procurement, financial management, environmental and social compliance, reporting citizen engagement, sub-projects' audit, maintenance, and updating the Project web portal.
 - (ii). **The International Expert Board (IEB).** IEB is responsible for the evaluation of Implementation Modernization Plan (IMP) proposals, the capacity of project teams of PRIs to execute them, and the selection of winners. The IEB ensures a rigorous and fair evaluation of IMP proposals submitted by PRIs. The members of the IEB will conduct peer reviewing of grant proposals, scoring and shortlisting them based on predefined criteria (Section 5, Annex 3). The IEB brings a high level of professionalism and impartiality to the selection and awarding process, ensuring transparency and quality of the process. IEB decisions are final and cannot be challenged. The IEB has the right to reject a grant application or suspend implementation of a PRIM sub-project, at any stage, based on, inter alia: a) 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 sub-project from the initially declared direction.
 - (iii). **Operational Working Group (OWG).** An Operational Working Group, comprising a team of international and national consultants, is responsible for assisting PIU in administering the PRIM Grant Program, including inter alia the following:
 - Assisting PIU to develop effective grant programs under the scope of the PRIM subcomponent, tailored to the needs of the research institutes.
 - Assisting PIU in communication with PRIM stakeholders (including departments of AID, public research institutes, Uzbekistan Academy of Sciences).
 - Assisting PIU in developing grant documents (grant guidelines, application forms, drafts of agreement forms, code of conduct for reviewers, etc.).
 - Assisting PIU in conducting orientation workshops for potential applicants interested in participating in the PRIM Grant Program.
 - Providing technical expertise and guidance to grant applicants during preparation of IMP proposals. This may include assistance in understanding the program objectives and requirements, clarifying eligibility criteria, and providing guidance on the development of sub-project proposals.
 - Providing together with PIU technical assistance to IEB in the smooth organization of the selection process.
 - Providing assistance to the PRIM grantees during the grant implementation phase. OWG can advise grantees on effectively managing the tasks and activities of IMPs, help with navigating any challenges or issues that may arise during implementation.
 - Assisting PIU in monitoring the progress of activities of PRIs during the grant implementation process.
 - Collaborating with the PIU and other MUNIS Project team members to ensure PRIM Grant Program objectives are met within the specified timeline and budget.
 - Supporting PIU in addressing any concerns or conflicts that may arise during the implementation of sub-projects.
 - Identifying potential risks and challenges that may impact sub-projects' implementation and propose mitigation strategies.

15. This Grant Program Manual regulates the PRIM grant program all aligned with the FA, POM, and is satisfactory to the WB.
16. Non-disclosure – all information that is provided in a proposal under the MUNIS Project will be treated as a confidential matter and will not be disclosed to third parties.

2. OBJECTIVES AND SUPPORT AREAS

2.1. Background (Government's initiatives in PRI modernization)

17. MUNIS PRIM grant program is envisaged under the Subcomponent 1.3 - Public Research Institutes Modernization of the MUNIS Project. The MUNIS Project Development Objective (PDO) aims to enable the development of a market-oriented national innovation system in Uzbekistan. Long-term priorities of national science and innovation sector transformation are defined in the Concept of Uzbekistan Science Development until 2030 (Presidential Decree PF-6097, 29.10.2020). This strategic concept defined goals and targets for transformation of public management of science, improving science funding mechanisms, diversification of sources for financing, modernization of research infrastructure, and developing data and information systems. In particular, the Concept indicates a comprehensive approach to the transformation of PRIs and envisages scientific infrastructure update, as well as cooperation of institutions with enterprises in the real sector of economy, creation of innovative enterprises, cooperation between various actors of the national innovation infrastructure (institutes, foundations, laboratories, scientific and technical parks, etc.), improving management, planning and forecasting of PRIs, better community outreach of PRIs to increase awareness of society on societal and economic benefits of scientific programs. However, the implementation mechanisms are yet to be developed and high degree of heterogeneity among the PRIs is a challenge requiring flexibility and iterative adjustment of state support mechanisms, calling for the need to test different approaches in pilot mode to gain the necessary implementation experience.

2.2. Objectives of the grant program

18. **Facilitating strategic and holistic approach to institutional modernization.** The primary objective of the PRIM Grant Program is to facilitate the strategic vision and approach to the development and implementation of the IMPs of public research institutes/organizations in Uzbekistan, to support their comprehensive modernization efforts in alignment with national and organizational goals and supplemental to related government initiatives. The PRIM Grant Program is designed to facilitate the complex and evolutionary process of institutional modernization of PRIs. By providing targeted funding, the PRIM Grant Program enables PRIs to implement measures that align with their long-term priorities increasing relevance and financial sustainability. These measures are intended to enhance the efficiency, effectiveness, and overall performance of public research institutes/organizations. However, it is essential that the measures undertaken are in line with the available resources and can be completed within a relatively short period (6-12 months).
19. **Serving as a complementary tool for the ongoing transformation of PRIs.** PRIM Grant Program catalyzes the ongoing process of government-supported strategic modernization of public research organizations in Uzbekistan. Resources of the PRIM can serve as a complementary leverage tool in achieving important objectives and tasks in research-based programs of PRIs.
20. **Encouraging cost-effective approaches to achieving institutional modernization.** PRIM Grant Program aims to provide cost-effective support that addresses the evidence-based needs of PRIs in priority areas such as Research infrastructure, Capacity Building, Strategic planning and governance, Knowledge exchange and sharing, Research and business collaboration, and Community engagement and outreach to improve their capacity in domestic and international markets.

2.3. Modernization pillars supported by the grant program

21. The PRIM Grant Program offers financial support that contributes to the following six pillars of the institutional modernization plan (IMP) of a PRI (Table 1):

IMP Pillar A: *Research infrastructure*

IMP Pillar B: *Capacity building*

IMP Pillar C: *Strategic planning and governance*
IMP Pillar D: *Knowledge exchange and sharing*
IMP Pillar E: *Research and business collaboration*
IMP Pillar F: *Community engagement and outreach*

22. These pillars are integrated components of the PRIM Grant Program. Any PRIM call will have all these pillars and the IMP proposal application form (Annex 1) includes all these pillars. Therefore, an IMP proposal from a PRI should be organized along these pillars (some pillars are obligatory and some are optional to consider while developing an IMP proposal).
23. PRIs wishing to apply to grant resources of the PRIM Grant Program should develop and submit the Institutional Modernization Plans (IMPs) according to the application template (Annex 1).

Table 1. IMP pillars supported under the PRIM Grant Program

IMP pillars to be supported by the PRIM Grant Program	Application conditionality	Modernization area	Specific objectives	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Relevance to the long-term modernization impact (Not required from the applicant as PRIM sub-project deliverables. This is for general guidance for PRIs to assume their IMPs are linked to their long-term goals)
A. Research Infrastructure	<ul style="list-style-type: none"> Optional: Applicant is free to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Research infrastructure 	Strengthening the research infrastructure necessary for advanced research initiatives	<ul style="list-style-type: none"> Acquired and installed required infrastructure (equipment, e-infrastructure) New infrastructure to be used in relevant research programs and to deliver expected results 	Enhanced research capabilities through access to state-of-the-art infrastructure and tools
B. Capacity building	<ul style="list-style-type: none"> Obligatory: Applicant is obliged to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Research performance 	Building a skilled workforce capable of utilizing modern research techniques and tools	<ul style="list-style-type: none"> Agreements with providers of QMS (quality management system) certification services (e.g. ISO certificates) Services obtained from QMS certification providers QMS certifications obtained during the project implementation period 	Improved research performance and efficiency due to enhanced skills and knowledge among research personnel
C. Strategic planning and governance	<ul style="list-style-type: none"> Obligatory: Applicant is obliged to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Governance and decision-making 	Facilitating strategic planning to guide and align modernization efforts	<ul style="list-style-type: none"> International advisor is contracted Analytical reports and recommendations delivered by an international advisor Capacity building is developed and delivered by an international advisor 	Clear direction and alignment of modernization efforts leading to effective utilization of resources and achievement of organizational goals
D. Knowledge exchange and sharing	<ul style="list-style-type: none"> Obligatory: Applicant is obliged to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Research performance Knowledge management 	Promoting the exchange of knowledge and ensuring research outcomes reach a wider audience	<ul style="list-style-type: none"> Organized events (conferences, workshops, symposiums, or seminars) Attended events (conferences, workshops, symposiums, or seminars) Published electronic open-access publications (journals, books, etc.) 	Enhanced dissemination and utilization of research outcomes, fostering innovation and collaboration within and beyond PRIs
E. Research and business collaboration	<ul style="list-style-type: none"> Optional: Applicant is free to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Research performance Knowledge management 	Strengthening ties between PRIs and their partners, including other research institutions, startups, business enterprises for mutual benefit	<ul style="list-style-type: none"> New partnerships formed; Conducted joint workshops, seminars, or training programs; Initiated joint research programs (projects) and contract research. 	Synergistic partnerships among research institutes, between academia and industry leading to innovation, technology transfer, and economic development

Table 1. IMP pillars supported under the PRIM Grant Program

IMP pillars to be supported by the PRIM Grant Program	Application conditionality	Modernization area	Specific objectives	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Relevance to the long-term modernization impact (Not required from the applicant as PRIM sub-project deliverables. This is for general guidance for PRIs to assume their IMPs are linked to their long-term goals)
F. Community engagement and outreach	<ul style="list-style-type: none"> Obligatory: Applicant is obliged to include this modernization pillar into the scope of the proposed IMP. 	<ul style="list-style-type: none"> Societal and economic impact 	Enhancing the visibility of research institutions and fostering collaboration with the broader community	<ul style="list-style-type: none"> Visibility of the PRIs increased through public events, media coverage, social media engagement, educational programs and publications targeted at the community 	Increased public awareness and engagement with research, fostering trust, collaboration, and societal impact of research initiatives

Note: Contracted International Consultant is subject to be engaged in all activities of the IMP

24. **IMP pillar A: Research Infrastructure.** The "Research Infrastructure" pillar of the proposed IMP should aim to provide PRIs with the necessary resources to upgrade their research facilities, equipment, and infrastructure, enabling them to conduct cutting-edge research and stay at the forefront of scientific advancements. Categories of research infrastructure include cost-effective scientific equipment; equipment components; and scientific e-infrastructure. Scientific e-infrastructure includes data storage, software systems, networks, tools for analysis of data, digital registries, scientific data repositories, and digital collections (e.g., biobanks, collections of fossils, specimens or artifacts, survey collections, etc.).
25. **IMP pillar B: Capacity building.** The "Capacity-building" pillar of the proposed IMP should aim to contribute to the efforts of PRIs in strengthening and developing the competencies of the workforce. Capacity-building activities under this IMP Pillar component should be designed to improve the overall institutional capacity in terms of research competencies, commitments of the organization to high research and management standards, and recognition to enhance the skills, knowledge, and capabilities of individuals and organizations, enabling them to better fulfill their roles and responsibilities. Capacity-building activities under this IMP pillar can include skill training (specialized training of research staff in research methodologies, data analysis, laboratory techniques, emerging technologies relevant to the PRIs' field of expertise, research ethics, and responsible conduct). Capacity-building activities can also include programs aimed at developing leadership and management competencies of staff in areas of research and innovation management, project management, effective communication, and other essential skills required for effective leadership within a research organization.
26. **IMP pillar C: Strategic planning and governance.** The "Strategic planning and governance" pillar of the proposed IMP should aim to strengthen the capacity of mid-level and senior managers of PRIs in developing a strategic approach to their organization's mission, goals, and tasks. This IMP pillar focuses on enhancing the strategic planning and governance capabilities of PRIs, thereby enabling them to effectively navigate the evolving landscape of research and innovation. This IMP pillar recognizes that the success of PRIs depends not only on their research capabilities but also on their ability to adapt to changing circumstances, identify emerging opportunities, and effectively allocate resources to achieve their objectives. This IMP pillar also aims to strengthen the governance capacity of PRIs by providing guidance and support in areas such as board composition, decision-making processes, risk management, and compliance with legal and ethical standards. Prioritized activities under this IMP pillar can include engaging external consultants and experts to facilitate the strategic planning process, conducting organizational assessments and environmental scans, and formulating clear mission statements, goals, and objectives that align with the PRIs' vision and priorities. Under this IMP pillar PRIs can request support for training programs, workshops, and seminars aimed at enhancing the knowledge and skills in strategic planning and governance, strategic thinking, strategic goal setting, performance management, risk assessment, and decision-making processes. PRIM Grant Program under this IMP pillar can support the establishment of performance monitoring and evaluation systems to assess the progress and effectiveness of strategic plans. This may include developing key performance indicators (KPIs), implementing data collection and analysis mechanisms, and conducting periodic evaluations to track the achievement of strategic goals and inform decision-making.
27. **IMP pillar D: Knowledge exchange and sharing.** The "Knowledge exchange and sharing" pillar of the proposed IMP should aim to help PRIs promote the exchange of knowledge and ensure research outcomes reach a wider audience. This IMP pillar underlies the importance of disseminating research findings, fostering collaboration, and maximizing the impact of PRIs' work beyond academic circles. By supporting knowledge-exchange and sharing initiatives, the PRIM Grant Program facilitates the translation of research into practical applications, policy

recommendations, and societal benefits. PRIM Grant Program under this IMP pillar provides PRIs with opportunities to enhance their knowledge dissemination strategies and engage in effective knowledge exchange with various stakeholders. PRIM Grant Program can support activities such as organizing conferences, seminars, and workshops where researchers can present their findings, exchange ideas, and foster collaborations with peers from academia, and industry. This IMP pillar may involve activities such as creating accessible summaries of research findings, producing policy briefs, organizing public lectures, and leveraging digital platforms to disseminate research outcomes.

28. **IMP pillar E: Research and business collaboration.** The "Research and business collaboration" pillar of the proposed IMP should aim to support PRIs in their activities to strengthen ties between research institutions and their partners, including other research institutions, startups, enterprises for mutual benefit. This IMP pillar facilitates fostering institutional collaborations to drive innovation, technology transfer, and economic growth. Under this IMP pillar PRIM Grant Program can support activities that promote research-research, research-commercialization and other types of institutional partnerships and enhance the exchange of knowledge, expertise, and resources between PRIs and other institutional partners (research institutes, startups, businesses, etc.). Activities of PRIs under this IMP pillar may include industry-science collaborative research efforts, IP assessments, patent filings, licensing agreements, technology commercialization initiatives, entrepreneurship and start-up training, industry-science matchmaking events (workshops, conferences), short-term placements of researchers in industry settings or vice versa, allowing for the transfer of skills, expertise, and insights.
29. **IMP pillar F: Community engagement and outreach.** The "Community engagement and outreach" pillar of the proposed IMP should aim to support PRIs to enhance their visibility and foster collaboration with diverse stakeholders, including government agencies, local communities, policymakers, non-profit organizations, and the public at large. This IMP pillar should facilitate activities that promote community engagement, knowledge sharing, and collaboration, thereby ensuring that the research conducted by PRIs is relevant, accessible, and addresses societal needs. The PRIM Grant Program can support under this IMP pillar the activities such as public lectures, science festivals, open days, community-engaging workshops, educational materials, informative brochures, videos, podcasts, interactive websites, and online platforms that make research findings accessible to the public. By disseminating research findings in user-friendly formats, PRIs can bridge the gap between academia and the public, enabling a wider understanding and appreciation of their work. Also, PRIM Grant Program under this IMP pillar may encourage PRIs to establish collaborative partnerships with non-profit organizations, schools, museums, and other community entities to promote science education, citizen science initiatives, and community-based participatory research.

2.4. Conditionality in applying to PRIM Grant Program

30. Certain IMP pillars are compulsory to apply to the PRIM Grant Program. The following IMP pillars must be included to the proposed Institutional Modernization Plan (Table 1):
 - IMP pillar B. Capacity building.
 - IMP pillar C. Strategic planning and governance.
 - IMP pillar D. Knowledge exchange and sharing grant
 - IMP pillar F. Community engagement and outreach.
31. Other IMP pillars (pillars A "Research infrastructure" and E "Research and business collaboration") are voluntary and PRIs may choose to include them in their grant proposal or not. While voluntary IMP pillars are not mandatory, they can provide valuable information and enhance the overall strength of your application.

3. FUNDING PRINCIPLES

3.1. Grants funding criteria

32. Selection of grant proposals will use the following criteria:
 - (i) **Clarity and relevance of modernization objectives of IMP.** The extent to which the submitted IMP proposal aligns with the objectives of the PRIM Grant Program, the organization's strategic goals and overall modernization objectives.
 - (ii) **Feasibility of IMP implementation.** The feasibility of the proposed activities and the likelihood of successful implementation within the specified timeframe.

- (iii) **Capacity-building strength. Integration of capacity-building initiatives in the IMP proposal.** The "Capacity-building" pillar 'B' of the proposed IMP should aim to contribute to the efforts of PRIs in strengthening and developing the competencies of the workforce. How effectively the IMP proposal addresses the PRO's capacity-building needs to achieve its objectives and deliver impactful outcomes.
- (iv) **Improving strategic planning and governance.** This criterion assesses the quality and effectiveness of the proposed strategic planning and governance (IMP pillar 'C') activities in the IMP proposal. How IMP proposal addresses the need to improve institution's organizational structure, governance mechanisms, and decision-making processes. Assessing efforts of PRI to build leadership, managerial, and technical capabilities necessary for improving and implementing the organizational and strategic management through using technical assistance of consultants and advisors, training programs and other support mechanisms.
- (v) **Knowledge dissemination and community outreach.** This criterion assesses efforts outlined in the IMP proposal to share research findings, engage with the broader community, and foster collaboration beyond academic boundaries (IMP pillars 'D' and 'F'). Evaluating how the PRIs' activities contribute to communicating research findings and innovations to diverse audiences.
- (vi) **Research and business collaboration.** Strength and effectiveness of the proposed collaboration efforts between the public research institute and external businesses or industry partners (IMP pillar 'E'). This criterion evaluates the potential for mutually beneficial relationships that leverage research outcomes for commercialization or practical applications. The criterion assesses the institution's efforts to engage with the business sector, foster collaboration between academia and industry, and leverage research outcomes for commercialization and economic impact.
- (vii) **Budget justification and cost-effectiveness.** The clarity and appropriateness of the budget allocation, including cost-effectiveness and value for money.
- (viii) **Consistency of research infrastructure.** IEB evaluates the consistency of the proposed research infrastructure with the broader goals and priorities of the PRI, as well as with the objectives of the grant program. This involves assessing the extent to which the proposed infrastructure aligns with institutional research priorities, addresses identified needs or gaps, and enhances the research capabilities of the PRI.
- (ix) **Professional capacity of the project management team.** The evaluation will be made during the pitching session by IEB and will assess whether the project team possesses adequate organizational assets, including qualifications, experience, certifications, achievements, and other relevant factors. The evaluation will also consider the presence of a clear description of the team and its capabilities. Additionally, the preparedness of the team for successful IMP implementation will be evaluated, taking into account the availability of additional consultants, managers, partners, and shareholders.

3.2. Requirements for sub-project team of PRIM applicants

- 33. **Project Coordinator.** The director of a PRI performs the role of a Project Coordinator to ensure ownership over a sub-project and its relevance to the strategic needs of the PRI. In the IMP proposal under the PRIM Grant Program, the role is not paid.
- 34. **Project manager.** The PRI assigns a Project Manager who will be responsible for managing the proposed sub-project. The applying PRI must assign a dedicated Project Manager who will be responsible for the overall management, coordination, and implementation of the proposed sub-project. The Project Manager should possess relevant experience and expertise in project management, preferably in the context of institutional modernization. The Project Manager will be the primary point of contact for the grant program and will be responsible for ensuring the successful execution of the sub-project, adherence to timelines and deliverables, and effective utilization of grant funds.
- 35. **International consultant.** Applicant must engage the experienced international consultant to strengthen the capacity of a PRI in developing and implementing the IMP proposal. An international consultant responsible for advising the sub-project team on all aspects of developing and implementing the IMP based on the applicable good international practice. (ToR for International consultant is in Annex 4).The PRIM Grant Application Form should include a Commitment Letter from the International Consultant.

3.3. Research fields

36. The PRIM intends to promote broad outreach and participation, encouraging applications related to a broad scope of research of PRIs. The following major groups of sciences are considered target clusters:
- (i) **Physical sciences** (such as chemistry, physics, and materials science)
 - (ii) **Life sciences** (such as biology, biochemistry, and genetics)
 - (iii) **Health sciences** (such as medicine, nursing, pharmacology, and public health)
 - (iv) **Engineering** (such as mechanical engineering, electrical engineering, and civil engineering)
 - (v) **Agriculture and food science** (such as plant breeding and genetics, soil science, and food safety)
 - (vi) **Environmental science** (such as renewable energy, environmental policy, and green chemistry)
 - (vii) **Computer science**
 - (viii) **Social science** (economics, sociology, etc.).

3.4. Total budget

37. The total budget allocated for the PRIM Grant Program is 6 million USD.
38. Co-financing is encouraged as the PRIM Grant Program is limited (both in total and the expected per-proposal value) to provide sufficient and needed resources for the implementation of the IMPs. Applicant should fill columns in the IMP application (Annex 1) both for the total costs and requested for PRIM funding. Higher level of co-financing will be an advantage.

3.5. Budget allocation

39. The requirements for grant applications are as follows (Table 2):
- The total budget of a grant application should not exceed 200,000 USD.
 - The total costs for the sub-project management staff cannot exceed the 15% of the total requested budget of a grant proposal.
 - An international consultant must be contracted to work as the sub-project team member responsible for providing advice on the application of good international practice to strengthen the IMP and its implementation arrangements.
 - The total amount for the acquisition of research infrastructure (IMP pillar 'A') requested in the application should not exceed 40% of the total budget of the grant application.
 - The total budget for the other components (IMP pillars 'B', 'C', 'D', 'E', and 'F') requested in the application should not be less than 45% of the total requested budget of a grant proposal.

Table 2. IMP pillars of the PRIM Grant Program

Grant component	Budget allocation	Total budget
Sub-project management staff	• No more than 15% of the total requested budget of a grant proposal	Max. 200,000 USD
IMP pillar A. Research infrastructure	• No more than 40% of the total requested budget of a grant proposal	
IMP pillar B. Capacity building	• Not less than 45% of the total requested budget of a grant proposal cumulatively	
IMP pillar C. Strategic planning support grant		
IMP pillar D. Knowledge exchange and sharing grant		
IMP pillar E. Research and business collaboration grant		
IMP pillar F. Community engagement and outreach grant		

3.6. Eligible expenses

40. PRIM Grant Program covers specific expenses depending on the grant component the applicant is applying for (Table 3).

Table 3. Eligible expenses of the PRIM Grant Program

Grant component	Eligible expenses
IMP pillar A. Research infrastructure	<ul style="list-style-type: none"> • Expenses on acquiring or upgrading research equipment and instruments (purchase, installation, setup, delivery, taxes and duties, training and documentation, etc.). • Expenses associated with acquiring and maintaining digital infrastructure, including servers, networking equipment, and data storage solutions. • Costs related to the development, implementation, and maintenance of information management systems for research data and project management. • Acquisition of data analytics tools and software licenses to support data analysis and interpretation. • Expenses for specialized research tools or software necessary for conducting specific experiments or analyses. • Costs associated with the purchase of special reagents or materials required for research projects. • Expenses for the procurement of consumables such as laboratory supplies, chemicals, biological materials, and other items used in research activities. • Costs to access external research facilities, libraries, databases, and other resources. This may include subscription fees, access fees, or costs associated with obtaining data or research materials from external sources.
IMP pillar B. Capacity building	<ul style="list-style-type: none"> • Expenses associated with certification training programs, including registration fees, course materials, and instructor fees, e.g.: costs incurred in obtaining certifications such as ISO 9001 (quality management), ISO 14001 (environmental management systems), ISO/IEC 17025 (Testing and calibration laboratories), ISO/TR 56004:2019 (innovation management), or other relevant certifications. • Costs of training programs focused on research tools, methodologies, and techniques, e.g., costs of training related to data analysis software, laboratory techniques, specialized instrumentation, research software, and other tools necessary for conducting research activities. • Expenses related to professional development (registration fees for conferences, seminars, workshops, or short-term courses, costs associated with obtaining specialized certifications or qualifications).
IMP pillar C. Strategic planning and governance	<ul style="list-style-type: none"> • Costs associated with hiring external subject area consultants or experts to provide guidance, facilitate the strategic planning process, conduct governance audits, develop strategy of development and modernization plans, or offer specialized expertise in strategic planning and governance. • Other costs associated with internal reorganization of a PRI including revision of business processes, streamlining administrative or research units, creating new units. • Costs associated with establishing monitoring and evaluation systems of research activities including data collection tools, software, or hiring external evaluators. • Costs of acquiring or licensing the specific software or tools to support their strategic planning efforts. • Costs related to training programs, workshops, or seminars aimed at enhancing the knowledge and skills of the PRIs' staff in strategic planning and governance. This may include training fees, materials, and travel expenses for participants and trainers.
IMP pillar D. Knowledge exchange and sharing	<ul style="list-style-type: none"> • Expenses related to organizing or attending conferences, workshops, symposiums, or seminars important to visibility, strategic partnership, and collaboration. • Costs associated with publishing important research findings in open-access journals, open-access research collections, open-access electronic books, and reports. • Expenses for developing and maintaining websites, creating promotional materials, and organizing science events that attract partners, sponsors, investors, and businesses.
IMP pillar E. Research and business collaboration	<ul style="list-style-type: none"> • Expenses for establishing and strengthening collaborative research projects. • Costs for exploring needs of markets and businesses. • Technology transfer and commercialization support (costs of IP protection, licensing and royalty agreements, technology assessment and market research, business development and marketing, incubation and entrepreneurship support, etc.). • Costs for organizing industry-focused events (conferences, workshops, etc.).

Table 3. Eligible expenses of the PRIM Grant Program

Grant component	Eligible expenses
IMP pillar F. Community engagement and outreach	<ul style="list-style-type: none"> • Community outreach/engagement activities, community service projects, network-building.
Sub-project management	<ul style="list-style-type: none"> • Remuneration for project management staff and international consultant.

41. Each PRIM grant CfP will have the flexibility to establish funding parameters (maximum values, proportions, etc.) depending on the influencing factors and objectives (such as available resources, encouraging more participation, engaging actors from particular research field and industry, etc.).

3.7. Conditionality

42. **Time constraint.** Preferably, the measures included in grant proposals should be completed within a relatively short period (6-12 months). While the PRIM Grant Program acknowledges the importance of long-term reform strategies, it also recognizes the need for timely implementation and achieving observable and measurable short- and medium-term results. Indicative results are given in the Table 1. The timeframe for completing the activities should be reasonable and aligned with the objectives of the grant program.

3.8 Budget justification

43. The grant proposal may request funds under any of the categories listed if the item and amount are necessary, reasonable, allocable, and allowable.
44. Payment of the costs related to any tax and other obligatory payments to the budget from grant funds is prohibited and must be covered by a co-financing partner. All relevant taxes (VAT, excise, etc.) from the Grant funds is prohibited (except salary/remuneration related taxes and social payments for Grantees staff).

Staff

45. The sub-project team of the Grantee is a group of individuals hired by the participating PRI specifically to develop and implement an IMP. The below remuneration is calculated for full-time work. In the case of part-time personnel engagement, the compensation is reduced proportionally.
- Remuneration of Project Manager shall not exceed US \$700 USD per month¹, including taxes, fees, and other mandatory payments to the budget, and be pro-rated in case of part-time and/or parallel employment. The person-month ratio for Project Manager in relation to the overall length of an IMP should be not less 60% of the sub-project's duration.
 - Remuneration of an international consultant shall not exceed US \$2000 USD per month. The person-month ratio for an international consultant in relation to the overall length of an IMP should be not less 25% of the sub-project's duration.
 - Remuneration of other team members shall not exceed US \$400 USD per month¹, including taxes, fees, and other mandatory payments to the budget, and be pro-rated in case of part-time and/or parallel employment.
46. Revealing the facts of fictitious registration of contracts and overstating the actual salaries will lead to the complete termination of funding and the return of grant funds.

¹ - salary rates subject to be calculated based on Decree of the Cabinet of Ministers of the Republic of Uzbekistan No. 545 dated 27/08/2021.

Research infrastructure (equipment, consumables to equipment, reagents, e-infrastructure, etc.)

47. 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.
48. The requirements for the equipment to be purchased:
- Must be new and conform to the objectives of the sub-project;
 - Must contain all the necessary units and components;
 - The cost should include the cost of delivery, installation, and maintenance of the equipment for the entire period of the sub-project;
 - It should be possible to dismantle and re-install the equipment without significant cost implications;
 - The equipment must ensure the quality of production/measurements that complies with RUZ or international standards;
 - The equipment or software purchase must be accompanied by a warranty and post-warranty service, staff training (training on operational use and maintenance only; research-based training with use of use of necessary equipment is not assumed here, as such training can be covered by the Pilar B "Capacity building" and Pilar C "Strategic planning and governance"), the availability of prompt repairs, troubleshooting, etc.;
 - The installation and operation of the equipment must comply with the environmental standards and the requirements of RUZ and the World Bank.
49. The research infrastructure (scientific equipment; equipment components; consumables, reagents, chemicals, and other disposable materials necessary for conducting experiments, analyses, and investigations; scientific e-infrastructure such as data storage, software systems, networks, tools for analysis of data, digital registries, scientific data repositories, and digital collections) purchased, installed, maintained at the expense of Grant funds should be used exclusively for sub-project purposes during the implementation period. The total costs of research infrastructure shall not exceed 40% of the grant amount.

Travel expenses

50. Local and overseas business travel. Travel expenses may include accommodation, transportation, and per diem costs, as well as visa and consular fees, conference/exhibition registration fees, and other reasonable travel expenses. All trips must be coordinated with and agreed with 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.
-

Materials and supplies

51. This category relates to the purchase of supplies, consumables, and raw materials (e.g., reagents and consumables for laboratory equipment) that are necessary for the implementation of the sub-project and will not be used for any other purposes.

IP protection

52. The Grant can cover the costs associated with the protection of intellectual property rights obtained as a result of the sub-project.
53. The grant covers costs associated with the protection of intellectual property such as copyright and related rights, trademark rights, service marks and appellations of origin, patents and other intellectual property obtained as a result of the Grant's implementation. The costs can include:
- The patent fee paid for the performance of legally significant actions related to the provision of legal protection to inventions, utility models, industrial designs, breeding achievements, topologies of integrated circuits, programs for electronic computers or databases, including registration of agreements on the transfer of intellectual property

rights (according to points 10, 11, 13 and 15 of the APPENDIX to the Law of the Republic of Uzbekistan « ON STATE DUTY», 06.01.2020, № LRU-600) - without competitive procurement process.

- Payments for the services of patent attorneys certified in accordance with national legislation (Resolution of the Cabinet of Ministers of the Republic of Uzbekistan, dated July 1, 2003, No. 298) - through a competitive procurement process.
- Payments for the services of patent attorneys certified in other countries in case of foreign patenting - through a competitive procurement process.

Third-party services

54. This category relates to the acquisition of professional and consulting services of third parties, which are not included in the team. Procurement of services necessary for the implementation of the proposed 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.

Marketing services

55. This category can be covered only from co-funding and include expenditures for marketing research and promotional activities for a product/technology; it can be independent companies providing assistance in getting products to their target markets; they include marketing research agencies, advertising agencies, sales promotions specialists, marketing consultants, etc.

Rental of equipment and premises

56. Equipment or lab and office space can be rented exclusively for Grant objectives and related activities.

Overhead and other expenses

57. This category is used to finance other expenses related to the implementation of the proposed sub-project. Taxes, fees, transportation costs, customs clearance (services of customs brokers), and storage must be covered by co-financing funding. Overhead expenses must not exceed 5% of the total grant amount.

Ineligible expenses

58. Unallowable expenses that cannot be expensed include:
- Payment of bonuses, benefits, compensation, financial aid, interest, or debt owed to any third party;
 - Tobacco products, alcoholic beverages, weapons and military equipment, gambling, entertainment, amusement;
 - Expenses and provisions for possible future losses or debts;
 - Expenses that have already been funded by another state program or company/organization;
 - Losses in currency exchange, commissions, and fines;
 - Memorabilia, including models, gifts, and souvenirs;
 - Salary compensation that exceeds the allowable limit as indicated above;
 - Commercial and/or medical insurance costs;
 - Acquisition of land, real estate, or transportation vehicles;
 - Other goods, works, and services not related to proposed sub-project implementation;
 - Any expenditures are found in the application that exceed the limits established by this Manual.

Procurement Arrangements

59. Procurement of goods, works, and services must be carried out following the procurement procedures as described in the PRIM GFM. PIU will guide the grantees to make procurement procedures conducted are in line with the procurement requirements described in PRIM GFM.

3.9. Ethics

60. Every sub-project funded by the MUNIS is subject to an ethics review process. Failure to comply with the below principles will lead to the rejection of the application or cancellation of the sub-project if the non-compliance is discovered at the implementation phase. The process is aimed at ensuring that all the research and innovation activities under MUNIS comply with ethics principles and relevant national, Uzbekistan and international legislation, as well as with the following core science & research ethical principles:
- **Honesty:** ensure honesty in all forms of scientific communication with colleagues, sponsors, and the public.
 - **Objectivity:** avoid bias in all aspects of research.
 - **Integrity:** maintain consistency of thought and action.
 - **Carefulness:** avoid errors or negligence at all times.
 - **Openness:** share information about your research and be open to criticism and new ideas.
 - **Transparency:** disclose all the necessary information needed to evaluate your research.
 - **Accountability:** be responsible for all concerns related to your research.
 - **Intellectual property:** avoid plagiarism, give proper credit to all contributions in your research, and honor all forms of intellectual property.
 - **Confidentiality:** protect and safeguard all confidential information recorded in your research.
 - **Responsible publication:** publish for the sole reason of advancing the knowledge in your field.
 - **Responsible mentoring:** help and mentor other researchers and promote their welfare.
 - **Respect for colleagues:** respect and treat all your colleagues fairly.
 - **Social responsibility:** aim to promote social good through your research.
 - **Non-discrimination:** avoid discrimination in all forms against colleagues.
 - **Competence:** improve your competence and promote the competence of science as a whole.
 - **Legality:** obey all relevant laws and policies.
 - **Animal care:** respect and care for all animal species.
 - **Human subjects' protection:** respect human dignity and take special precautions wherever needed.
 - **Effectiveness:** put all efforts to reach set objectives.
 - **Efficiency:** achieve more output with less input.
 - **Economy:** put all due efforts to save the grants funds.

3.10. Environmental and Social Framework

61. The WB Environmental and Social Framework (ESF) is the primary guidance that ensures compliance with the requirements of environmental and social 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.
62. All grant proposal need 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.
63. All grant proposals will be screened by PIU, which outlines the guiding principles of environmental screening, assessment, review, management, and monitoring procedures. The environmental and social 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.
64. 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.
65. PIU environmental and social staff will carry out a rapid assessment of the likely environmental and social risks and impact, which 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. 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 proposed sub-project should be attributed. Generally, the significance of impacts, and risks, that contribute to resulting environmental and social risk will depend on the *type* and *scale* of the proposed sub-project, its *location*, *sensitivity* of environmental and social issues, and the *nature* and *magnitude* of potential risks and impacts.

66. 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 falling under “Substantial” or “High” Environmental and Social Risks will not be financed by the MUNIS Project.*** The categories assigned to proposed sub-projects will be subject to World Bank approval before signing the Grant Agreements.

3.11. Call for Proposals

67. The PRIM grant applications can only be submitted in response to a “Call for Proposals (CfP)” and only via the online submission service. PRIM 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.
68. The PIU can announce indicative dates for the opening of the CfP, as well as respective deadlines. The definite dates are published during the opening of the CfP.
69. All necessary documents (GPM, GFM, WB ESF, MS Word application form) will be placed online on the MUNIS web portal. In addition to public announcement, PIU and OWG will inform PRIs via email about starting the CfP.
70. PIU and OWG will organize the technical orientation meeting for the PRIs to provide them guidance on objectives and resources of the PRIM Grant Program. OWG will guide the PRIs on procedures how to develop, submit and implement the IMP proposal. 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 PRIM grants.
71. The applicant is responsible for the correctness of the submitted initial data, calculations, and justifications given in the proposal. If the information is inaccurate, the proposal may be rejected from further consideration. The applicant bears all costs for preparing and submitting the proposal independently.

3.12. Deadline for submission of grant proposals

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

4. ELIGIBILITY REQUIREMENTS

73. In addition to requirements related to grant application stated in the Manual, all grant proposals must also meet the below eligibility criteria.

4.1. Organization eligibility

74. PRIM grants may be awarded to public research institutes/organizations (PRIs). All PRIs in Uzbekistan are eligible to submit grant proposals. Eligible PRIs include research institutes and research centers.
75. Geographic location: The applicant must need to be located in Uzbekistan.
76. Legal status: The applying PRI must be a registered legal organization to participate in the grant program and comply with Uzbekistan laws and regulations.

4.2. Governance eligibility

77. Applying PRI should demonstrate that senior management complies with standards of transparent, accountable management of the submitted IMP proposal, for this purpose the application form has the section of "Sub-Project Commitment Declaration" (Annex 1), that should be filled and signed by a director of an applying PRI.

4.3. Proposal relevance

78. The proposed sub-project or activities must align with the objectives of the PRIM Grant Program. Applicants must clearly articulate how their proposed sub-project contributes to the institutional modernization of the PRI and addresses its the long-term specific objectives.

4.4. Submission restrictions

79. A Public Research Institute (PRI) is limited to participating as an applicant in only one grant proposal during a single grant call for proposals.

5. EVALUATION AND ADMISSIBILITY PRINCIPLES

5.1. Admissibility criteria

80. All grant proposals should meet the following admissibility criteria.
- (i) Institutional modernization
 - (ii) **Application format.** The applicant must follow rules prescribed in the CfP format and structure for the grant proposal, including specific sections, headings, or templates provided by the program.
 - (iii) **Readable proposal.** IMP proposal need to be written in clear and concise language form making it easy to comprehend and analyze its value by evaluators. Sentences must be free of typos, grammatical errors, and inconsistencies. It is advised to avoid long sentences, technical terms, and passive voices. Use of subheadings and bullet points, breaking up content into smaller sections with clear subheadings improves readability.
 - (iv) **Proposal completeness.** The proposal must include all information required by the CfP rules and procedures.
 - (v) **Uniqueness of the application.** A Public Research Organization (PRI) is limited to participating as an applicant in only one grant proposal during a single grant call for proposals.
 - (vi) **Ethical considerations.** The proposal must meet ethical standards or regulations applicable to the research or activities proposed, such as obtaining necessary approvals for human subjects, animal research, or biosafety.
 - (vii) **Submission deadline.** The proposal must be submitted within the specified timeline and/or deadline set by the CfP.
 - (viii) **Language of proposals.** The sub-project proposal must be written and submitted in English. As an option, an Uzbek or Russian version can be also submitted together with an English version. Due to the international nature of the review process, the English version will be considered the main version of the proposal. In case of discrepancies between two versions of the document, the English version will prevail.
81. **Time feasibility.** Preferably, the measures included in grant proposals should be completed within a relatively short period (6-12 months). While the PRIM Grant Program acknowledges the importance of long-term reform strategies, it also recognizes the need for timely implementation and tangible results.

5.2. Proposal selection and evaluation process

82. The selection and evaluation process includes the following steps:
- (i) Formal compliance check of all applications by OWG.
 - (ii) First-stage evaluation by IEB (scoring, shortlisting and ranking).
 - (iii) 'No objection' from the WB for Environmental and Social risk categories of selected IMP proposals
 - (iv) Second-stage evaluation by IEB (pitching and selection).
 - (v) Formal acceptance and approval of grantees by AID.
83. **Formal compliance check. Screening of proposals by Operational Working Group (OWG).** The process time: 1-5 working days after the call deadline. Operational Working Group (OWG) will screen the incoming grant proposals

to check for eligibility and admissibility (The check template is in Annex 2). If the documents submitted are incomplete, the proposal will be returned to the applicant with detailed explanations for the amendment and resubmission within 3 business days. If after revision the proposal is still incomplete, the proposal is rejected and PIU emails the applicant about the rejection reason. No application (including the revised ones) will be accepted after the call deadline.

84. **First-stage evaluation by IEB. Evaluation and short-listing of proposals by a IEB.** The individual members of IEB conduct scoring, ranking, and short-listing of IMP proposals (template is in Annex 3). IEB will review the IMP proposals, and evaluate and score them based on predefined criteria. The process time takes 2 weeks after passing the screening phase.

First stage evaluation of IMP proposals by the IEB (see Annex 3) will be based on the following criteria with scoring:

- (i) **Clarity and relevance of modernization objectives of IMP.** The extent to which the submitted IMP proposal aligns with the objectives of the PRIM Grant Program, the organization's strategic goals and overall modernization objectives.
- (ii) **Feasibility of IMP implementation.** The feasibility of the proposed activities and the likelihood of successful implementation within the specified timeframe.
- (iii) **Capacity-building strength.** Integration of capacity-building initiatives in the IMP proposal. The "Capacity-building" pillar 'B' of the proposed IMP should aim to contribute to the efforts of PRIs in strengthening and developing the competencies of the workforce. How effectively the IMP proposal addresses the PRI's capacity-building needs to achieve its objectives and deliver impactful outcomes.
- (iv) **Improving strategic planning and governance.** This criterion assesses the quality and effectiveness of the proposed strategic planning and governance (IMP pillar 'C') activities in the IMP proposal. How IMP proposal addresses the need to improve an institution's organizational structure, governance mechanisms, and decision-making processes. Assessing efforts of PRI to build leadership, managerial, and technical capabilities necessary for improving and implementing the organizational and strategic management through using technical assistance of consultants and advisors, training programs and other support mechanisms.
- (v) **Knowledge dissemination and community outreach.** This criterion assesses efforts outlined in the IMP proposal to share research findings, engage with the broader community, and foster collaboration beyond academic boundaries (IMP pillars 'D' and 'F'). Evaluating how the PRI's activities contribute to communicating research findings and innovations to diverse audiences.
- (vi) **Research and business collaboration.** Strength and effectiveness of the proposed collaboration efforts between the public research institute and external businesses or industry partners (IMP pillar 'E'). This criterion evaluates the potential for mutually beneficial relationships that leverage research outcomes for commercialization or practical applications, including through contract research. The criterion assesses the institution's efforts to engage with the business sector, foster collaboration between academia and industry, and leverage research outcomes for commercialization and economic impact.
- (vii) **Budget justification and cost-effectiveness.** The clarity and appropriateness of the budget allocation, including cost-effectiveness and value for money.

During the first-stage evaluation stage, the assessment of the consistency of the research infrastructure is to be made **without scoring** (Annex 3) by IEB. IEB evaluates the research infrastructure consistency with the objectives of the IMP in case the applicant requests grant support for Component A "Research infrastructure".

The IMP will be evaluated using the following scoring system:

- 1-3: Weak
- 4-6: Moderate
- 7-8: Strong
- 9-10: Excellent

All IEB members will score the IMP by specified evaluation criteria (Section 5.2) following this scale. Every evaluation criterion has its own weight. The sum of weighted points will give the total score of a proposal. The **shortlisting threshold (minimum weighted score) is '7'** out of the maximum '10'. At the end of the first-stage evaluation process, the Short list summary of IMPs will be passed to the final evaluation and selection stage.

	Evaluation criteria	Scoring (Weak: 1-3; Moderate: 4-6; Strong: 7-8; Excellent: 9-10)	Weight
1	Evaluation criteria with scoring		

1.1	Clarity and relevance of modernization objectives of IMP	15%
1.2	Feasibility of IMP implementation	10%
1.3	Capacity-building strength	15%
1.4	Improving strategic planning and governance	15%
1.5	Knowledge dissemination and community outreach	15%
1.6	Research and business collaboration	15%
1.7	Budget justification and cost-effectiveness	15%
2.	Evaluation criteria without scoring		
2.1	Consistency of research infrastructure	Checkbox evaluation. IF the applicant requests grant support for Component A "Research infrastructure", the evaluator makes a checkbox assessment by selecting one from the following options: "Consistent", "Disputable", or "Not consistent". A short explanation for the selected assessment can be provided (See Annex 3).	

85. **'No objection' from the WB for Environmental and Social risk categories of selected IMP proposals.** The PIU will evaluate the shortlisted proposals (according to the Environmental and Social Management Framework of the MUNIS Project) and will submit them to WB for approval. The applications that are not approved by the WB will be excluded from the shortlisted proposals.
86. **Second-stage evaluation by IEB (pitching and selection).** During this stage, only the shortlisted applications will be considered. The second stage evaluation of IMP by the IEB will be based on conducting a pitching session. During the pitching session, the IEB will further assess the shortlisted PRIs on the Professional capacity of the sub-project management team. The evaluation will assess whether the sub-project team possesses adequate organizational assets, including qualifications, experience, certifications, achievements, and other relevant factors. The evaluation will also consider the presence of a clear description of the team and its capabilities. Additionally, the preparedness of the team for successful IMP implementation will be evaluated, taking into account the availability of additional consultants, managers, partners, and shareholders. Based on conducted pitching sessions the IEB will produce evaluation report for each application according to attached form with final decision on funding.
87. **Formal acceptance and approval of grantees.** Acceptance of winners based on the final decision of IEB. The Executing Agency (AID) will issue an internal order based on the final decision of IEB. A list of the winning IMP proposals will be published on the Project website and communicated to selected applicants with further instructions. All other applicants will receive feedback from the PIU regarding their proposal status, including the reasons for rejection.

6. AWARD AND GRANT AGREEMENT

88. The PIU will ensure timely and transparent publication of information about the announcement, application, evaluation, awarding process and key documents like the GFM, through the project website.
89. The Executing Agency (AID) will issue an internal order based on the final decision of IEB
90. 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.
91. If the Grant Agreement is not signed by the grant recipient within 10 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. During the final selection stage, IEB will define a short waiting list of IMP proposals based on their ranks in total

scoring and evaluation. This approach ensures that high-quality proposals that cannot be funded immediately due to budget constraints can still be considered if selected winning proposals withdraw or fail to sign grant agreements.

7. MONITORING & EVALUATION OF PRIM GRANTS

92. Operational Working Group (OWG) assists PIU in monitoring of the progress of IMP activities of PRIs during the grant implementation process. OWG collaborates with the PIU and relevant department members of the AID to ensure PRIM Grant Program objectives are met within the specified timeline and budget. The OWG actively monitors the implementation progress of IMPs and assesses their alignment with the approved plans and objectives. This involves periodically reviewing the status of implementation of IMPs including schedule, budget, activities, outputs, etc. as defined in respective Grant Agreements to ensure that the PRIs are making satisfactory progress. The OWG will request PRIs to submit regular data and information on the progress with IMPs. Also, the OWG can visit site of grantees or participate in their IMP activities (such as events, meetings) to observe the progress with effective use of PRIM funding. Grantees are expected to exhibit responsiveness and collaboration by promptly providing the necessary information and granting access to activities outlined in the approved Institutional Modernization Plans (IMPs).
93. The grantee should maintain basic financial and accounting controls required to keep records of the PRIM grant funds utilization, supported by the financial specialist/accountant of the PRI, satisfactory to provisions of the GFM. MUNIS PIU procurement and financial specialists monitor grantees to ensure full compliance with applicable grant management rules.
94. Any changes to the sub-project objectives or procurement plan during its execution require IEB and PIU approval as per Grant Agreement.
95. Grants may be subject to external audit on the terms of references stated in the Grant Agreement.
96. Grant implementation reports should be submitted to the MUNIS PIU in the terms stated in the Grant Agreement.
97. Technical reports should be provided by the Grantee twice a year, within 15 days after the 6th month and 15 days after the 12th month of the reporting year. The final technical report needs to be presented within 20 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 audit reports are divided into current and final. 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 will decide to continue, suspend or cancel of a given sub-project. A sub-project may also be canceled based on IEB decision and approval of WB in the case of non-compliance with the fiduciary requirements described in the GFM and Grant Agreement.
98. Detailed monitoring and evaluation guidance, framework on administrative, financial, and technical aspects are included in the PRIM GFM.

8. CLOSING

99. When completed, the grantee will provide feedback on the PRIM experience, learning, best practices, challenges, and its potential improvement to the PIU as part of the sub-project completion report.
100. Detailed closing criteria, reporting and legal and administrative processes are included in the Grant Agreement and PRIM GFM.
101. Prevailing Language. In the event of conflict between the two versions, the English version will prevail.

ANNEXES

Annex 1: PRIM Grant Application Form

Starting note: *Font Type: Arial. Font size: 10. Line spacing: Single. In fairness to all applicants, the page limits will be strictly applied. Only the material that is presented within these limits will be evaluated. Reviewers and evaluators will only be asked to read the material presented within the page limits and will be under no obligation to read beyond them.*

I. PROJECT MANAGER AND SUB-PROJECT COMMITMENT

1. Name of the public research organization

2.

[Click here to enter text.](#)

3. Name of the Project Coordinator (director of the organization)

[Click here to enter text.](#)

4. Name of the Project Manager (assigned by the sub-Project Coordinator)

[Click here to enter text.](#)

5. Name of the International Consultant

[Click here to enter text.](#)

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

[Click here to enter text.](#)

7. Mailing address, telephone and fax numbers, and email address

[Click here to enter text.](#)

8. Information on the sub-project team members. *Please attach the CV of each member of the sub-project team*

	First Name, Family Name, Middle name	Research organization	Department	Telephone	Email
1.					
2.					
3.					
4.					
5.					
....					

9. Sub-Project Commitment Declaration

SUB-PROJECT COMMITMENT DECLARATION

(This declaration should be also printed, signed and attached separately)

I, [Director's Name], in my capacity as the Director of [Public Research Organization Name], hereby affirm our commitment to the implementation of the Institutional Modernization Plan (IMP) under the Public Research Institutes Modernization (PRIM) initiative.

As the leader of [Public Research Organization Name], I recognize the critical importance of modernizing our institution to become more effective and self-sustainable by enhancing our research capabilities, improving their relevance and commercialization results, fostering innovation, and contributing to the advancement of science and technology in Uzbekistan.

By signing this commitment letter, I pledge to:

1. Support the development and implementation of the proposed Institutional Modernization Plan (IMP) in alignment with the goals and objectives of the PRIM initiative.
2. Allocate necessary resources, including human, financial, and technical, to ensure the successful execution of the IMP.
3. Foster a culture of innovation, collaboration, and excellence within our organization, enabling our researchers and staff to thrive in a modernized research environment.
4. Engage with stakeholders, including government agencies, funding partners, industry collaborators, and the broader community, to garner support for our modernization efforts and maximize the impact of our research activities.
5. Regularly monitor and evaluate the progress of the IMP, making adjustments as needed to ensure its effectiveness and sustainability over time.
6. Adhere to financial accountability and responsible use of funds by ensuring that all grant funds received under the PRIM initiative are utilized exclusively for the purposes outlined in the approved IMP proposal. If monitoring activities identify any unauthorized or irresponsible use of the funds, we acknowledge the obligation to return the grant amount in full to the appropriate funding agency.
7. An internal order will be issued by Public Research Institute based on the provisions of this declaration.

Sincerely,

[Director's Name]

[Director's Position]

[Public Research Organization Name]

[Director's Signature]

II. PROJECT TITLE AND OBJECTIVES

- 10. Title of the proposed Institutional Modernization Plan (IMP):** *Title of the proposed IMP should be directly linked with the modernization of the public research organization*

[Click here to enter text.](#)

- 11. Sub-Project duration:** *Enter a number of months to implement the grant proposal. Preferably less than 6-12 months*

[Click here to enter text.](#)

- 12. Pillars of Institutional Modernization Plan (IMP):** *Check the pillars covered by your Institutional Modernization Plan (IMP). Please note that your organization must include in the proposed IMP the following modernization pillars B, C, D, and F. Otherwise, the application is not admissible and will be rejected*

A. Research infrastructure (mark the box if this pillar is included in the proposed IMP)	<input type="checkbox"/>	B. Capacity building (must be included in the proposed IMP)	<input checked="" type="checkbox"/>	C. Strategic planning and governance (must be included in the proposed IMP)	<input checked="" type="checkbox"/>
D. Knowledge exchange and sharing (must be included in the proposed IMP)	<input checked="" type="checkbox"/>	E. Research and business collaboration (mark the box if this pillar is included in the proposed IMP)	<input type="checkbox"/>	F. Community engagement and outreach (must be included in the proposed IMP)	<input checked="" type="checkbox"/>

- 13. Objectives of the institutional modernization plan (IMP).** *Please articulate the primary objective(s) of the Institutional Modernization Plan (IMP) proposed by your research organization. Limit your response to no more than three objectives and ensure it does not exceed 250 words.*

[Click here to enter text.](#)

14. Alignment of IMP with the national and organizational goals. Please elaborate on how the proposed Institutional Modernization Plan (IMP) support the achievement of the strategic goals of your organization in alignment with relevant national priorities. Your explanation should be concise, providing insights into how the IMP supports advancing the specific objectives of your organization in alignment with relevant national agendas. Your response should not exceed 500 words.

15. Integration of the IMP with current and future research programs. Please elaborate on how the proposed

[Click here to enter text.](#)

Institutional Modernization Plan (IMP) improves quality, relevance and potentially commercialization of the ongoing and Prospective research initiatives within your organization. Your response should provide insights into how IMP supports and enhances existing research programs to achieve specific results while also facilitating the integration of future research endeavours. Ensure your explanation does not exceed 500 words.

[Click here to enter text.](#)

III. AREAS OF INSTITUTIONAL MODERNIZATION

16. IMP Pillar A: RESEARCH INFRASTRUCTURE. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Research infrastructure". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the sub-project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)
1.				
2.				
3.				
4.				

17. IMP Pillar B: CAPACITY BUILDING. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Capacity

building". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the sub-project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)
1.				
2.				
3.				
4.				

18. IMP Pillar C: STRATEGIC PLANNING AND GOVERNANCE. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Strategic planning and governance". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)
1.				
2.				
3.				
4.				

19. IMP Pillar D: KNOWLEDGE EXCHANGE AND SHARING. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Knowledge exchange and sharing". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the sub-project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)
1.				
2.				
3.				
4.				

20. IMP Pillar E: RESEARCH AND BUSINESS COLLABORATION. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Research and business collaboration". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the sub-project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)

			months of grant implementation)	completion of activities and outputs)
1.				
2.				
3.				
4.				

21. IMP Pillar F: COMMUNITY ENGAGEMENT AND OUTREACH. Please ensure to complete the Theory of Change (ToC) table provided below. This table is designed to capture the key activities, outputs, and outcomes associated with the IMP pillar "Community engagement and outreach". Please carefully fill out each row with detailed information regarding the activities planned, the outputs expected to be generated, and the desired outcomes of the sub-project.

	Activities (List of specific actions or tasks to be undertaken)	Outputs (Tangible products or deliverables resulting from each activity)	Indicative short- and medium-term results (observable within 6-12 months of grant implementation)	Outcomes (Desired changes or impacts resulting from the completion of activities and outputs)
1.				
2.				
3.				
4.				

IV. BUDGET AND EXPENDITURES

22. Allocation of requested budget among the IMP pillars: Enter budget allocation among the selected IMP pillars (yellow-colored columns). Please note that your organization must include in the proposed IMP the following modernization pillars B, C, D, and F. Otherwise, the application is not admissible and will be rejected

Pillars of Institutional Modernization Plan (IMP)	Requested budget, USD		Important!	Section of Grant Program Manual
	USD	% of the total requested budget		
IMP management staff%	<ul style="list-style-type: none">No more than 15% of the total requested budget of a grant proposal	Section 3 of GPM
IMP Pillar A: Research Infrastructure%	<ul style="list-style-type: none">No more than 40% of the total requested budget of a grant proposal	
IMP Pillar B: Capacity building%	<ul style="list-style-type: none">Not less than 45% of the total requested budget of a grant proposal	
IMP Pillar C: Strategic planning and governance	...			
IMP Pillar D: Knowledge exchange and sharing	...			
IMP Pillar E: Research and business collaboration	...			

Pillars of Institutional Modernization Plan (IMP)	Requested budget, USD		Important!	Section of Grant Program Manual
	USD	% of the total requested budget		
IMP Pillar F: Community engagement and outreach	...			
TOTAL:	...	100%	<ul style="list-style-type: none"> • Max. 200,000 USD when sub-project manager is from administration or managers of a PRI • 	

23. Detailed budget of the IMP proposal (during the implementation period).

Categories of costs and items	Quantity (number of units, months)	Unit costs (USD)	Total cost (USD)	Requested support (USD)	Cofinancing
1	2	3	4	5	6
1. IMP management costs					
1.1 IMP Team			
International Consultant (1 person)	
Project Manager (1 person)					
Assistant Project Manager (1 person)	
....	
1.2 Domestic travel costs			
....	
1.3 Administrative costs			
....	
Subtotal group 1: <i>(For column 5 'Requested budget only': the 'Subtotal group 1' (Project management) costs should be no more than 15% % of the 'Total requested' costs for the IMP proposal)</i>		
2. IMP Pillar A: RESEARCH INFRASTRUCTURE					
2.1 Equipment			
....	
....	
2.2 Installation services			
....	
....	
2.3 Consumables (reagents, materials, etc.)			
Subtotal 2: <i>(For column 5 'Requested budget' only: the 'Subtotal group 2' (Research infrastructure) costs should be no more than 40% of the 'Total requested' costs for the IMP proposal)</i>		
3. IMP Pillar B: CAPACITY BUILDING					

3.1 Institutional certification and accreditation programs			
....	
....	
3.2 Individual certification and skill training programs			
....	
....	
3.3 Other professional development training programs			
....	
....	
Subtotal 3:		
4. IMP Pillar C: STRATEGIC PLANNING AND GOVERNANCE					
4.1 Hiring international consultant			
....	
....	
4.2 Training of mid-level and senior managers in strategic management, planning and governance			
....	
....	
4.3 Specialized planning and governance software			
....	
Subtotal 4:		
5. IMP Pillar D: KNOWLEDGE EXCHANGE AND SHARING					
5.1 Research events (conferences, workshops) with visibility initiatives			
....	
....	
5.2 Open-access publishing of important research findings			
....	
....	
5.3 Developing research communication and promotion products and events (websites, platforms, periodicals, promotion and awareness events, etc.)			
....	
Subtotal 5:		
6. IMP Pillar E: RESEARCH AND BUSINESS COLLABORATION					
6.1 Establishing and strengthening collaborative research projects			
....	
....	
6.2 Exploring needs of markets and businesses			
....	
....	
6.3 Technology transfer and commercialization support			
....	
6.4 Industry-focused events (conferences, workshops, etc.)			

....	
Subtotal 6:		
7. IMP Pillar F: COMMUNITY ENGAGEMENT AND OUTREACH					
7.1 Community-engaging events (open days, science festivals, etc.)			
....	
....	
6.2	
7.	
....	
7.3 Outreach activities (videos, podcasts, and interactive websites)			
....	
Subtotal 7:		
Subtotal Pillars B+C+D+E+F: (not less than 45% of the total requested costs)		
TOTAL COSTS:		

24. Consolidated budget of the IMP by cost categories. *Please identify the necessary funding required in US dollars through different sources (grant and/or co-financing) in order to achieve the goals of the proposed IMP. NOTE! The following data will be used as a base for financial and procurement plan in a Grant Agreement.*

No	Expenses	Grant amount	Co-financing amount	Total
1.	Staff
2.	Research infrastructure purchased total
	<i>including:</i>
2.1	Equipment, equipment parts, components
2.2	Consumables for operating of equipment (reagents, chemicals, disposable materials)
2.3	Rental of equipment
2.4	E-infrastructure (data storage, software, tools for analysis of data, digital registries, scientific data repositories, digital collections, etc.)
3.	Travel expenses
4.	Materials and supplies (other than mentioned in 2)
5.	IP protection
6.	Third-party services
8.	Rental of premises
9.	Marketing expenses
10.	Overhead and other expenses
11.	Audit
12.	Taxes and other obligatory payments
	Total

V. PROJECT IMPLEMENTATION SCHEDULE

Key stage description	M 1	M 2	M 3	M 4	M 5	M 6	M 7	M 8	M 9	M 10	M 11	M 12
IMP Pillar A: <i>Research Infrastructure</i>												
IMP Pillar B: <i>Capacity building</i>												
IMP Pillar C: <i>Strategic planning and governance</i>												
IMP Pillar D: <i>Knowledge exchange and sharing</i>												
IMP Pillar E: <i>Research and business collaboration</i>												
IMP Pillar F: <i>Community engagement and outreach</i>												

Annex 2: PRIM Grant Application check for eligibility and admissibility

Eligibility and admissibility checklist (for compliance verification form to be filled by grantor)

Applicant should not fill in the table below

	Administrative and eligibility check - rejection clauses apply	yes	no	in part
1	ELIGIBILITY CHECK			
1.1	Organization: Is the Applicant eligible as PRI registered in Uzbekistan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Governance: Has the applicant demonstrated the commitment to implement the sub-project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Proposal: Are the activities proposed in line with targeted institutional modernization areas (pillars)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Uniqueness of the application. Has the Applicant submitted only one application within the Call?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	Past experience: Has the Applicant already applied for or obtained any PRIM contribution?			
2	ADMISSABILITY CHECK			
2.1	Relevance of proposed IMP to PRIM objectives: Does the proposed IMP reflect the objectives of PRIM Grant Program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2	Relevance of proposed IMP to PRIM minimum scope: Does the proposed IMP include the required minimum scope of activities (pillars B, C, D, and F)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.3	Format: Is the Application in Word format and does it match the submission template?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.4	Readability: Is the Application in a readable status?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.5	Completeness: Is the Application filled in correctly in all its parts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.6	Deadline: Has the Applicant respected the submission deadline?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.7	Language: Has the Application filled in the required language?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.8	Clarity eligibility of the budget: Is the budget clear and are the requested budget expenses in line with the PRIM rules?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.9	Amount of the requested budget: Is the amount of the requested budget within the limit of a single grant funding?			
2.10	Time feasibility: Is the implementation date in line with the Call?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Annex 3: PRIM Grant Application Evaluation Form (First Stage)

The members of IEB will be given this evaluation form in an Excel file. The evaluator should fill only column '2'; other cells will be generated automatically and provide the total weighted score. This filled form is the example that shows that a proposal gets the weighted score 'of 8.2' and obtains the 'SHORTLISTED' status

	Evaluation criteria (Section 5 of GPM)	Select score from drop-down list (Weak: 1-3; Moderate: 4-6; Strong: 7-8; Excellent: 9-10)	Weight	Weighted score (automatic)	Shortlisted (if total weighted score >=7). Otherwise dropped
	1	2 (only this column is to be filled)	3	4	
1	First-stage IMP proposal evaluation with scoring				
1.1	Clarity and relevance of modernization objectives of IMP. The extent to which the submitted IMP proposal aligns with the objectives of the PRIM Grant Program, the organization's strategic goals and overall modernization objectives.	8	15%	1.2	
1.2	Feasibility of IMP implementation. The feasibility of the proposed activities and the likelihood of successful implementation within the specified timeframe	7	10%	0.7	
1.3	Capacity-building strength. Integration of capacity-building initiatives in the IMP proposal. The "Capacity-building" pillar 'B' of the proposed IMP should aim to contribute to the efforts of PRIs in strengthening and developing the competencies of the workforce. How effectively the IMP proposal addresses the PRI's capacity-building needs to achieve its objectives and deliver impactful outcomes	8	15%	1.2	
1.4	Improving strategic planning and governance. The criterion assesses the quality and effectiveness of the proposed strategic planning and governance (IMP pillar 'C') activities in the IMP proposal. How IMP proposal addresses the need to improve an institution's organizational structure, governance mechanisms, and decision-making processes. Assessing efforts of PRI to build leadership, managerial, and technical capabilities necessary for improving and implementing the organizational and strategic management through using technical assistance of consultants and advisors, training programs and other support mechanisms	10	15%	1.5	
1.5	Knowledge dissemination and community outreach. This criterion assesses efforts outlined in the IMP proposal to share research findings, engage with the broader community, and foster collaboration beyond academic boundaries (IMP pillars 'D' and 'F'). Evaluating how the PRI's activities contribute to communicating research findings and innovations to diverse audiences.	10	15%	1.5	
1.6	Research and business collaboration. Strength and effectiveness of the proposed collaboration efforts between the public research institute and external businesses or industry partners (IMP pillar 'E'). This criterion evaluates the potential for mutually beneficial relationships that leverage research outcomes for commercialization or practical applications. The criterion assesses the institution's efforts to engage with the business sector, foster collaboration between academia and industry, and leverage research outcomes for commercialization and economic impact.	10	15%	1.5	
1.7	Budget justification and cost-effectiveness. The clarity and appropriateness of the budget allocation, including cost-effectiveness and value for money	4	15%	0.6	
	TOTAL SCORE			8.2	SHORTLISTED
2	IMP proposal evaluation by without scoring				
2.1	Note on the research infrastructure consistency (IF the applicant requested grant support for Component A "Research infrastructure". Select one from the following options: "Consistent" or "Not consistent". And explain briefly the selected assessment.	Consistent <input checked="" type="checkbox"/> ² Not-consistent <input type="checkbox"/>	Explain:		

² "Consistent" doesn't mean that the total amount of initially requested budget will be approved.

Annex 4: Terms of reference for International Consultant

MUNIS PRIM Grant Program background

Uzbekistan is committed to investing in Science, Technology, and Innovation (STI) to transform its economy and achieve inclusive and sustainable development. Since the end of 2016, the Government of Uzbekistan (GoU) has been undertaking significant reforms to establish a market-oriented economy and improve the business and investment climate under the leadership of President Shavkat Mirziyoyev. Innovative development is placed at the heart of these reforms and the transformation processes.

The World Bank supports the innovation policy agenda of the Republic of Uzbekistan by financing the Modernizing Uzbekistan National Innovation System (MUNIS) Project the implementation of which has been started by the Ministry of Innovative Development (in accordance with the Decree of the Cabinet of Ministers of the Republic of Uzbekistan No. PKM-172 dated April 3, 2021 “On measures to implement the project “Modernization of the National Innovation System of Uzbekistan”.

MUNIS Project includes three key components that represent a policy mix of instruments to improve the scientific performance and economic relevance of applied research and development (R&D), stimulate enterprise-level innovation to achieve the development of new or improved products, technologies, and processes, and create new institutions, such as an International Expert Board (IEB), a Technology Transfer Unit (TTU). In addition, the MUNIS Project will include technical assistance and capacity building to support the implementation of the mentioned activities. Component 1 supports the improvement of R&D quality and relevance and modernization of PRIs through dedicated competitive financing programs. Component 2 fosters firm innovation and industry-science collaboration through the provision of innovation co-financing, local supplier development program, and selected improvement of national quality infrastructure. Component 3 finances technical assistance in support of the design, implementation, and integration of the piloted mechanisms into the mainstream government policy mix.

The Subcomponent 1.3 Public Research Institutes Modernization (PRIM) of the MUNIS Project aims to support the design and implementation of Institutional Modernization Plans (IMP) for selected PRIs through a dedicated PRIM Program.

This Subcomponent provides technical assistance for the design and implementation of the IMP. IMPs are expected to be robust enough to generate a substantial improvement in research excellence and research commercialization. Proposed measures should be conceived as part of a long-term reform strategy but be commensurate with the resources available for the activity and be completed within a short period; Clear timeline for the institutional modernization plan should be developed.

Beneficiaries of PRIM Grant Program

The Public Research Institutes (PRIs) of Uzbekistan participate in a competitive PRIM Grant Program through developing and submitting grant proposals in the form of Institutional Modernization Plans (IMPs). Implementing an Institutional Modernization Plan (IMP) aimed at enhancing the institute's capabilities, efficiency, and effectiveness. As part of this plan, the PRI seeks to assign an International consultant to support the implementation of the IMP. The International Consultant will be responsible for advising the sub-project management team and ensuring the successful execution of the plan within a duration of 6-12 months.

Objectives

The primary objective of the International Consultant is to facilitate the implementation of the Institutional Modernization Plan (IMP) by providing consultancy and advisory support to IMP team and PRI management, who ensure that the sub-project is executed in a timely and efficient manner. The International Consultant will advise the Project Manager on the successful implementation of sub-project activities, managing resources, monitoring progress, and delivering the expected outcomes.

Roles and responsibilities

The International Consultant will have the following key roles and responsibilities:

- Advise and participate in developing drafts of the sub-project's plan, including timelines, milestones, and deliverables, in coordination with the Project Manager, IMP team, and Project Coordinator.
- Contribute to the building capacity, providing strategic guidance and selected inputs/contributions in his/her area of expertise (i.e. inputs to new research protocols, management instructions, quality control procedures, personnel career management guidelines, etc.).

- Provide guidance on the acquisition and installation of research infrastructure, ensuring it meets the needs of the IMP.
- Support in coordination of sub-project activities, recommending effective ways of ensuring better communication, and collaboration among team members, stakeholders, and external partners.
- Monitor sub-project progress, identify potential risks or issues, and recommend and support implementation of mitigation strategies to ensure sub-project objectives are met.
- Train the IMP team in preparing good reports (progress reports and financial reports), and review the drafts the IMP team-prepared reports before they are submitted to PRI management and stakeholders.
- Advise the IMP sub-project team in their tasks on effectively managing sub-project resources, including budget allocation, procurement of necessary equipment or services, and ensuring efficient utilization of resources.
- Closely engage in meetings of the IMP sub-project team with internal and external stakeholders to advise and contribute with his/her knowledge and expertise for smooth implementation of the planned activities on modernization and capacity building of the PRI.
- Offer to the IMP team requested technical support to address any challenges or issues that arise during the implementation of the IMP.
- Offer technical expertise in the design and implementation of modernization initiatives. This may include areas such as governance structures, organizational design, process optimization, digital transformation, data management, and research administration.
- Liaise with external consultants, experts, or vendors, as necessary, to support the implementation of the IMP and ensure their deliverables align with sub-project requirements.
- Monitor and evaluate the impact and outcomes of the Institutional Modernization Plan, identifying lessons learned and best practices for future improvement.

Qualifications and experience

The International Consultant should possess the following qualifications and experience:

- A proven track record in managing roles in research organizations with a minimum of 6 years of experience in project management, institutional modernization or organizational development, coordination of research programs.
- Solid experience in: administration and coordination of research programs (i); planning the research, educational, and entrepreneurship priorities of research institutes (ii).
- Experience and qualification in management roles such as Chief Innovation and Strategy Officer, Program Coordinator, Director of Strategic Planning, or Director of Institutional Development.
- Strong leadership and team management skills, with the ability to motivate and guide a diverse project team.
- Excellent communication and interpersonal skills to effectively engage with stakeholders at various levels.
- Experience working in international or multicultural environments, with an understanding of cross-cultural dynamics.
- Knowledge and understanding of best practices in institutional modernization, change management, and process improvement.
- Proficiency in project management methodologies, tools, and software.
- Flexibility and adaptability to work in a dynamic and evolving project environment.
- Fluency in English (additional language skills in Russian and Uzbek may be advantageous).

Reporting and supervision

The International Consultant will report to the sub-Project Coordinator, designated within the PRI. Regular reporting and updates on sub-project progress, challenges, and recommendations will be expected.

International Consultant provides in agreement with the sub-Project Coordinator reports to the Project Implementation Unit (PIU) of the Agency of Innovation Development (AID).

Duration and remuneration

The duration of the International Sub-Project Consultant's assignment will be within 6-12 months, depending on the scope and complexity of the respective Institutional Modernization Plan. Remuneration will be determined based on the PRI's policies and in accordance with the qualifications and experience of the selected candidate.

MODERNIZING UZBEKISTAN'S NATIONAL INNOVATION SYSTEM (MUNIS) PROJECT

Public Research Institutes Modernization (PRIM)

EVALUATION REPORT OF THE PRESENTATION

Proposal #	
Project title	
Name of the PRI	
Name of the Project Coordinator (director of the organization)	
Requested grant amount	

Summary of comments about the project

Strengths:

Weaknesses:

Overall conclusion and recommendation for possible funding or rejection:

Chair' Name and Signature:

Members' Names and Signatures:

Date: _____