

**Annex 1**  
**to the decision of the Council of**  
**Center for Scientific and Technological Initiatives**  
**“Samgau” Foundation**  
**dated 09.01.2023,**  
**minutes No. 1/23**

**Approved**  
**by the decision of the Council of**  
**Center for Scientific and Technological Initiatives**  
**“Samgau” Foundation**  
**dated 09.01.2023,**  
**minutes No. 1/23**

**RULES OF CENTER FOR SCIENTIFIC AND TECHNOLOGICAL**  
**INITIATIVES "SAMGAU" FOUNDATION**  
**ON SELECTION AND EVALUATION**  
**OF SCIENTIFIC AND TECHNOLOGICAL INITIATIVES**  
**OF THE GROUP OF COMPANIES OF "SAMRUK-KAZYNA" JSC**

**Astana**  
**2023**

## **Section 1. Purpose and Application**

1.1. These Rules govern the procedure for selection and organization and conducting evaluation of scientific and technological initiatives submitted by legal entities that are part of the group of companies of “Samruk-Kazyna” JSC”, in the manner and under the conditions provided for by these Rules.

1.2. These Rules are subject to preliminary consideration by the Steering Committee and approval by the Council of the “Center for Scientific and Technological Initiatives “Samgau” Foundation (hereinafter referred to as Samgau), and are mandatory for use by all employees of Samgau and Applicants.

1.3. These Rules are developed in accordance with the “Corporate standard for R&D and innovation of “Samruk-Kazyna” JSC and legal entities, more than fifty percent of voting shares (participatory interests) owned directly or indirectly by “Samruk-Kazyna” JSC” (hereinafter referred to as Corporate Standard).

## **Section 2. Terms/Definitions**

2.1. The following terms, definitions and abbreviations are used in these Rules:

2.1.1. Applicant - a legal entity that is part of the group of companies of the Fund and submitted a Preliminary Application/Application for funding in accordance with these Rules;

2.1.2. Application - a document drafted in accordance with Annex 2 to these Rules and sent to participate in the selection for R&D funding;

2.1.3. Conclusion (checklist) - a document prepared on the basis of the Validation results and filled out in accordance with Annex 3 to these Rules;

2.1.4. Contractor - a legal entity responsible for the implementation of the Project;

2.1.5. External scientific examination (ESE) - an examination conducted to determine the scientific novelty, relevance and technical feasibility of a scientific and technological initiative proposed for implementation in the Application;

2.1.6. Financial and economic examination (FEE) - an examination conducted to assess the financial and economic attractiveness of the project and the validity of all expenditures declared by the Applicant to achieve the goals of the Project;

2.1.7. Financial examination (FE) – an examination conducted to verify the compliance of the declared costs with the types and limits of costs specified in Annex 5 to these Rules;

2.1.8. Fund - Samruk-Kazyna JSC;

2.1.9. group of companies of the Fund - the Fund and companies included in the group of the Fund in accordance with the Law of the Republic of Kazakhstan “On the National Wealth Fund”;

2.1.10. Preliminary application - a document drafted in accordance with Annex 1(a, b) to these Rules and informing about the Applicant’s intention to receive R&D funding;

2.1.11. Project - a scientific and technological initiative drawn up and submitted by the Applicant in the form of a Preliminary Application / Application;

2.1.12. R&D (research and development work) – the work defined by the Law of the Republic of Kazakhstan “On Science” and meet the requirements of the Corporate Standard;

2.1.13. SC - Steering Committee of the Samgau;

2.1.14. STC - Scientific and Technical Council of the Fund;

2.1.15. Validation – verification of submitted Preliminary applications for compliance with the Corporate Standard’s requirements.

### **Section 3. Main Provisions**

3.1. The Samgau provides consultations to potential Applicants on the issues of acceptance, consideration and selection of Preliminary Applications / Applications as requests are received.

3.2. Reception and registration of Preliminary Applications / Applications is carried out on business days from 9 a.m. to 4 p.m. Preliminary Applications / Applications received after the specified time are subject to registration on the next business day.

3.3. Samgau provides the information on received Applications to the members of the SC on a half-year basis.

3.4. Monitoring of the implementation of Projects funded by the Samgau is carried out in accordance with the internal acts of the Samgau.

### **Section 4. Selection and evaluation of Projects**

#### **4.1. Receipt and validation of Preliminary applications.**

1) The Samgau accepts Preliminary applications through the Samgau's web portal or corporate email [application@csti.kz](mailto:application@csti.kz).

2) Received Preliminary applications are subject to registration and verification for the completeness of the submitted information within 3 (three) business days.

3) Preliminary applications containing incomplete information are sent to the Applicant for revision. The terms for finalizing and resubmitting the Preliminary application are 10 (ten) business days from the date of receipt of the relevant notification from the Samgau. In case of violation by the Applicant of the terms for revision and resubmission, Preliminary applications are subject to rejection.

4) Preliminary applications that have passed the verification are subject to Validation within 5 (five) business days. Based on the results of the Validation, the Samgau prepares a Conclusion (checklist) in accordance with Annex 3 to these Rules and sends it to the Applicant.

5) Preliminary applications that received negative conclusions in accordance with the Conclusion (checklist) are rejected and are not subject to further consideration, a corresponding notification is sent to the Applicant.

## **4.2. Acceptance of Applications.**

1) After receiving a positive Conclusion (checklist), the Applicant shall prepare the Application (in English and Kazakh/Russian). If necessary, the Samgau provides consultations and information support on filling out the Application.

2) The completed Application and accompanying documents are submitted to the Samgau. The Application received by the Samgau undergoes primary processing and at the stage of primary processing the Samgau has the right to request from the Applicant additional information necessary for the examination.

3) In case of receiving a request from Samgau, the Applicant provides the requested information within 3 (three) business days.

4) The Application is subject to registration after successful completion of primary processing.

## **4.3. External scientific examination (ESE) of Applications.**

1) Registered Applications are sent to ESE. ESE is carried out by foreign and/or domestic organizations attracted by the Samgau. If necessary, the Samgau may involve domestic and/or foreign experts. The term of the ESE is determined by the regulations of attracted expert organization.

At any stage of the ESE, the Samgau has the right to request from the Applicant additional materials, information, clarifications necessary for the preparation of the conclusion on the ESE. The requests of the Samgau must be processed within 3 (three) business days.

2) As part of the ESE, the Application is evaluated according to the following criteria:

- Scientific novelty and relevance of the proposed solutions;
- The quality of the plan and the feasibility of the tasks set;
- Practical significance of the expected results;
- Competence of the Project team;
- The level of material and technical base necessary for the implementation of the Project;
- Validity and adequacy of the declared costs;
- The scalability of the proposed solutions.

3) The evaluation of the Application within the framework of the examination is carried out using scoring system, in accordance with Annex 4 to these Rules, or according to the form of the expert organization attracted for conducting the ESE.

In accordance with the results of the ESE, Applications that have received a score corresponding to 60% of a maximum score or higher are subject to further consideration in accordance with these Rules.

Applications that have received a score less than 60% of a maximum score are rejected and are not subject to further consideration, a corresponding notification is sent to the Applicant.

## **4.4. Financial examination of Applications.**

1) All Applications are subject to FE. The conclusion of the FE is drawn up in accordance with Annex 6 to these Rules.

2) During the FE, Samgau has the right to request additional materials, information, clarifications necessary for the preparation of conclusion on the FE (Annex 6). Samgau's requests must be processed within 3 (three) business days.

3) Subject to Sub-clause 4.5 of these Rules, Applications that have received positive conclusions from the FE and ESE are sent for consideration by the STC of the Fund.

#### **4.5. Financial and economic examination of Applications.**

1) All applications that have successfully passed ESE, FE and corresponding to the stage 3, in accordance with paragraph 13 of the Corporate Standard, go through the stage of the FEE, in accordance with the "Procedure for conducting financial and economic examination of Applications", presented in Annex 7 to these Rules.

2) External organizations may be involved in conducting FEE. FEE is carried out within 15 (fifteen) business days from the date of sending the Application materials for the FEE.

3) At any stage of the FEE, the Samgau has the right to request from the Applicant additional materials, information, clarifications necessary for the preparation of an opinion on the FEE. The Samgau's requests must be processed within 3 (three) business days.

4) The conclusions of the FEE are drawn up in accordance with Annex 8 to these Rules.

5) Applications that have received a negative conclusion of the FEE are rejected from consideration and the Applicant is notified accordingly.

6) Applications that have received positive conclusions from the FEE are sent for consideration by the STC of the Fund.

#### **4.6. Consideration of the Application at the meeting of the STC of the Fund.**

1) The procedure for consideration of Applications by the STC of the Fund is regulated by the relevant internal acts of the Fund and (or) the Samgau. The STC of the Fund considers applications and makes one of the following decisions:

- approve for funding;
- postpone (justification and deadline are indicated);
- send for revision with submission to the next STC (justification is indicated);
- reject.

2) The Samgau notifies the Applicant about results of consideration of the Application by the STC of the Fund.

3) If the Application is approved for funding, based on the STC decision, the Samgau initiates the conclusion of an agreement with the Contractor and the Applicant, in accordance with the procedures established in the Samgau.

## **Section 5. Final Provisions**

5.1. All issues not regulated by these Rules are regulated by the Acting Law of the Astana International Financial Centre, the Samgau Charter, Corporate Standard and other internal acts of the Fund and (or) the Samgau.

Annex 1a to the Rules of  
Center for scientific and technological  
initiatives "Samgau" Foundation  
on selection and evaluation  
of scientific and technological initiatives of the  
group of companies of Samruk-Kazyna JSC

### Pre-application form for Projects

<b>1. Project title</b>	
<i>not more than 10 words</i>	
<b>2. Requested amount (tenge)</b>	
<i>Need for funding (full funding / partial funding / not required)</i>	
<b>3. Applicant</b>	
Name of the organization	
Full name of the project coordinator	
Mobile phone	
E-mail	
<b>4. Previous Funding</b> <i>(not more than 150 слов)</i>	
Describe whether the project received funding from the Government sources	Yes <input type="checkbox"/> No <input type="checkbox"/> If «Yes» Amount of funding:

	<i>Aim of funding:</i> <i>Results:</i> <i>Explanations:</i>
Describe whether the project received funding from the other sources	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>If «Yes»</i> <i>Amount of funding:</i> <i>Aim of funding:</i> <i>Results:</i> <i>Explanations:</i>
<b>5. Project description</b> ( <i>not more than 250 words</i> ) <i>The essence of the problem. The essence of the solution. The potential social and economic impact of the project for "Samruk Kazyna" JSC.</i>	
<b>6. Expected results</b> ( <i>not more than 50 words</i> ) <i>What will be the direct result of the project (pilot plant, patent, Rules, report, etc.)</i>	
<b>7. Scientific component</b> ( <i>not more than 600 words</i> )	
<b>Scientific problem:</b> <i>The essence of scientific uncertainty (what the applicant wants to know, determine, confirm) why it cannot be overcome by the methods existing in the industry, expert assessments, which requires direct R&amp;D and experimental work.</i>	
<b>Novelty of the solution:</b> <i>How does the solution fundamentally</i>	



<p><i>differs from current practice and analogues in terms of the scientific/technological approach, what exactly are its advantages over analogues. New scientific knowledge and scientific hypothesis of the project are described.</i></p>	
<p><b>Scalability of the project:</b> <i>What will give the results of the project to the organization, within the group of companies of the Fund, as well as the possibility of applying the results to other organizations. The possibility of scaling in other industries is also described.</i></p>	
<p><b>8. Resources</b> <i>(not more than 300 words)</i>  <i>Organizations involved in the implementation of the project: employees, scientists, infrastructure, competencies, and roles. It is mandatory to indicate the full name and description of the involvement of at least 2 employees of a scientifically accredited organization.</i></p>	
<p><b>9. Project plan</b> <i>(not more than 300 words)</i>  <i>Project implementation plan should be divided into stages, indicating the amount, duration of each activity in months and the result for each stage</i></p>	

Annex 1b to the Rules of  
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### Form of the budget plan of the Project

Stage 1: (to be completed for each stage of the project)					
Result of the stage:	<i>(that can be verified - report, pilot plant, methodology, etc.)</i>				
Duration (in months):	<i>after the start of implementation (specify seasonal risk, if any)</i>				
Expenditures	amount	price	sum	Brief justification (what is it for and why in the given scope/parameters)	Calculation explanation, data source
<b>1. Payroll fund (wages) in man-months</b>	<i>months</i>	<i>tenge</i>	<i>tenge</i>		
Expert 1					
Expert 2					
...					
<b>2. Travel expenses</b>					
<b>3. Equipment</b>	<i>units</i>	<i>tenge</i>	<i>tenge</i>		
Equipment 1					
Equipment 2					
...					

4. Consumables	<i>units</i>	<i>tenge</i>	<i>tenge</i>		
Consumable 1					
Consumable 2					
....					
5. Third party services					
Party 1					
Party 2					
...					
Patenting/IP management					
6. Unforeseen expenses					
<b>Total</b>					

**Principal Investigator of the project** \_\_\_\_\_ **Full name**

*(signature)*

**Coordinator of the project** \_\_\_\_\_ **Full name**

*(signature)*

**Head of the organization** \_\_\_\_\_ **Full name**

*(signature, seal)*

Annex 2 to the Rules of  
Center for scientific and technological initiatives  
"Samgau" Foundation  
on selection and evaluation  
of scientific and technological initiatives of the  
group of companies of Samruk-Kazyna JSC

**Application for R&D funding<sup>1</sup>**  
**Center for Scientific and Technological Initiatives "Samgau" Foundation**

1. General information	
<i>Title of the project</i>	
<i>Applicant</i>	
<i>Contractor</i>	
<i>Duration (in months)</i>	
<i>Requested amount (KZT)</i>	
<i>Coordinator/Principal Investigator of the project</i>	<i>Name:</i>  <i>Phone:</i>  <i>Email:</i>

2. Project Description and Alignment	
	Keywords (max. 8, in order of priority)

<sup>1</sup> Application (including tables, charts, and bibliography) may not exceed 15 pages (font size 12, spacing, 1.0) for ESE purposes. Submit complete Application electronically in PDF format. Application supporting data consists of a 2-page CV of the Principal Investigator and a 1-page for CVs of other key personnel.

1	2	3	4
5	6	7	8

Provide a project summary including a description of:

- 1) **Relevance of the research** (to what extent this research is in demand in the industry)
- 2) **Scientific content** (an indicator characterizing the share of the scientific component in the total scope of work on the project)
- 3) **Scientific and technical significance of the research**
- 4) **Probability of obtaining new scientific knowledge, intellectual property** (as the basis for further R&D)

### 3. Methodology

*Describe and justify: the research methods (appropriate literature citations/references may be cited); how the chosen research approach will achieve the objectives of the Project; why one would expect the chosen methodology to enable the objectives of the proposal to be met; compliance with the principles of research; intellectual property rights consideration (if appropriate); and risk management issues.*

### 4. Research Group

*Briefly summarize the qualifications of the Principal Investigator and other key researchers<sup>2</sup> who will conduct the proposed research and their responsibilities (details can be included in the individual 1-page CVs; Co-PIs must have the same qualification requirements as the PI). Describe the role of the collaborators.*

<sup>2</sup> Hiring international research specialists must be strictly justified and all researchers/specialists must be physically located on the research site.

## 5. Project Plan and Budget Justification

Describe and justify:

1. the project timeline of major tasks and planned work as well as the rationale for their importance (Gantt chart) with indication of expected results;
2. the total project cost with obligatory detailed breakdown, including:
  - a) a statement of the purpose, origin/destination (if known), approximate duration, number of travelers, and the estimated cost each business trip;
  - b) the cost of all equipment items planned for the total project period;
    - *The equipment budget should include all associated estimated costs (customs clearance, delivery fees, non-refundable taxes less trade discounts and refunds, etc., except service maintenance).*
    - *Include an explanatory note justifying equipment/resources costs in the case that existing equipment/resources of the Applicant or its affiliate units are available but cannot be used in the project.*
    - *Purchase of computers, including laptops is not allowed.*
  - c) separate costs<sup>3</sup> for each subcontract including: a description of the work, terms of reference and planned tasks to be performed; subcontractor requirements; list of potential subcontractors (if possible).
3. the overall approach to the management of the project including a brief clarification of the relationships with any subcontractors and with other organizations; planning, scheduling, and control procedures.

## 6. Expected results

*Describe a practical significance of the expected results, socio-economic impact, and potential for commercialization.*

*Describe the potential for scalability of expected results.*

*For stage 3 applications, the following information is provided:*

- forecasts of potential qualitative and/or financial benefits;*
- worksheets with forecasted financial benefits and expenses from the project with description of any assumptions, initial data and reasonable calculations.*

<sup>3</sup> This request should be strictly justified and may be documented separately and attached to the Application package (to meet the page limits).

## 7. Research Infrastructure

*Describe the facilities available for the accomplishment of the proposed research including a description of the research infrastructure (equipment, hardware, software, information, etc. Also provide official confirmation from third parties if it is planned to use their research infrastructure) required to achieve the proposal goals.*

## 8. References

*Specify the most relevant publications/research relevant to the Project.*

<b>Principal Investigator of the project</b>	_____	<b>Full name</b>
	<i>(signature)</i>	
<b>Coordinator of the project</b>	_____	<b>Full name</b>
	<i>(signature)</i>	
<b>Head of the organization</b>	_____	<b>Full name</b>
	<i>(signature, seal)</i>	

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**CHECK LIST FOR APPLICATION VALIDATION**

Date: \_\_\_\_\_

Application title: \_\_\_\_\_

Organization: \_\_\_\_\_

Requested budget: \_\_\_\_\_

tenge

№	The question from the checklist in accordance with the “Corporate standard for R&D and innovation of “Samruk-Kazyna” JSC and legal entities with more than fifty percent of voting shares (participatory interests) owned directly or indirectly by “Samruk-Kazyna” JSC”	Yes/No
<b>In the proposed initiative:</b>		
1	acquisition of new scientific knowledge with an applied focus is provided	
2	there is hypothesis testing (experimental verification / confirmation) of ideas and theories of laboratory or experimental work	
3	expected to create or improve technology	
4	it is impossible to obtain the claimed results without conducting research	
5	multi-stage nature is excluded and the project corresponds to one of the R&D stages	
6	the participation of an organization with scientific accreditation of the Republic of Kazakhstan is envisaged	
<b>The proposed initiative excludes:</b>		
7	purchase and completion of equipment	
8	modernization of the production process based on existing technologies	
9	technology acquisition without its improvement through R&D	
10	scientific laboratory research services without experimental work	

**The stage of the project**  
(in accordance with paragraph  
13 of the Corporate Standard)

1 2 3 **Conclusions:**



Annex 4 to the Rules of  
Center for scientific and technological  
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on selection and evaluation  
of scientific and technological initiatives of the  
group of companies of Samruk-Kazyna JSC

**Application evaluation form**

<b>Application number:</b>	
<b>Title of the Application:</b>	
<b>Implementation period:</b>	
<b>Requested budget:</b>	
<b>Name of the Expert:</b>	

Section 1 – Scientific component		
Criterion	Score from 1 to 5	Comment (mandatory, at least 50 words)
1	Relevance of the research (to what extent this project is in demand in the industry)	<i>High - technology will provide a qualitative breakthrough and long-term competitiveness of the industry; Medium - the project is relevant, optimization of production processes of enterprises is ensured; Low - the project will not significantly affect the enterprises of the industry; The project is not relevant.</i>
2	Scientific content (an indicator characterizing the share of the scientific component in the total scope of work on the project)	

3	Scientific and technical significance of the research		<i>innovativeness, potential for further commercialization, etc.</i>
4	Probability of obtaining new scientific knowledge, intellectual property		<i>High - the results of the research will completely change the approach to the problems in the industry and become the basis for R&amp;D; Medium - the results of the research will become the basis for further R&amp;D without significantly changing the approach; Low - the results of the research will make minor changes to current approaches and some practical knowledge will be gained; Probability of obtaining new scientific knowledge, intellectual property is absent.</i>
5	Industry scalability of scientific results of the research		<i>Ability to scale results of the research to other industries / Scalable only within the designated industry / Scalable only within similar enterprises / Not scalable</i>

## Section 2: Evaluation of the main components of the project

Evaluation of the research team			
Criterion		Score from 1 to 5	Comment (mandatory, at least 50 words)
1	All indicated organizations correspond to the goals and action plan of the project		
2	Quality of the research team (the qualifications and work experience of the research team members correspond to the goals set)		
3	The justification of the involvement of all research team members ( <i>all indicated experts are needed for the project, the scope of work of experts corresponds to the work plan</i> )		

Evaluation of the action plan		
Criterion	Score from 1 to 5	Comment (mandatory, at least 50 words)
1	All activities are logically structured, and aims are achievable within the stated time frame	<i>It is necessary to indicate if the applicant does not mention activities / factors that may have negative impact on the implementation of the project or its results</i>
2	All costs are justified and directly related to the aims of the project	<i>Indicate which costs are not directly related to the project, or which costs / equipment / parameters of the required equipment are not necessary</i>
3	Applicant's vision of further implementation of project results (after successful implementation of the project)	<i>Are there actions planned for further implementation of the results of the project, including patenting in other countries, registration of know-how, a plan for working with other organizations in the Republic of Kazakhstan, the CIS, etc. How expedient are the planned activities?</i>
4	Expected social and economic impact	<i>Describe expected social and economic effect in case of successful implementation of the project</i>
5	Potential risks <b>during</b> project implementation period	<i>Describe technological, financial, organizational (including logistical) and legal (legislative restrictions) risks at the project implementation stage</i>
6	Risks <b>after</b> project implementation period	<i>Describe the possible risks in the further implementation of the project</i>
7	<b>Additional question to the Expert</b> (The question to the expert is formed by Samgau)	
<b>Final (total) score:</b>		
<b>Conclusion:</b>		

Name of the Expert \_\_\_\_\_  
(signature)

Annex 5 to the Rules of  
Center for scientific and technological  
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on selection and evaluation  
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group of companies of Samruk-Kazyna JSC

**Types and limits of expenditures in the framework of the implementation of research and development work**

<b>Expenditures Items</b>	<b>Description</b>	<b>Allowability of Expenditures</b>	<b>Limits for expenditures</b>
<b>1. Payroll fund (wages)<sup>4</sup></b>	Compensation for professional services of project group members within established limits	Salary	<p>It is necessary to provide a brief justification for the need to involve specialists.</p> <p><b>Payroll of the Principal Investigator</b> (including all taxes and payments, including those withheld at the source of payments) - up to 700,000 tenge per month;</p> <p><b>Services of members with an academic degree and a PhD degree</b> (including all taxes and payments, including those withheld at the source of payments) - up to 600,000 tenge per month;</p> <p><b>Services of members with a Master's degree</b> (including all taxes and payments, including those withheld at the source of payments) - up to 500,000 tenge per month.</p>

<sup>4</sup> Limits for wages of certain team members (up to 2) may be revised in exceptional cases, if they are justified for the implementation of the project.

			<p><b>Services of members with a bachelor's degree</b> (including all taxes and payments, including those withheld at the source of payments) - up to 300,000 tenge per month.</p> <p><b><u>The cost of the payroll of the project team should not exceed 50% of the total cost of the project.</u></b></p>
<b>2. Travel expenses</b>	Travel expenses of the project team members and specialists involved under service contracts.	<p><b>1.</b> Transportation costs, accommodation and daily expenses, in accordance with the limits on business trips of the "Rules for reimbursement of expenses for business trips at the expense of budgetary funds, including to foreign countries."</p> <p><b>2.</b> Transportation costs, visa fees associated with the arrival of a project team member (not an employee of the applicant) to the project site and his departure.</p>	<p>Business trips should be aimed at conducting experiments, testing, substantiating the concept of the project.</p> <p>Limits on travel and transport expenses are applied in accordance with the "Rules for reimbursement of expenses for business trips at the expense of budgetary funds, including to foreign countries" on the basis of ownership or trust management".</p> <p>For each business trip, it is necessary to provide a rationale for its expediency to achieve the project objectives.</p>
<b>3. Purchase of equipment and intangible assets</b>	Costs associated with the acquisition of equipment and other intangible assets* (see definition of equipment below).	1. Purchase of equipment necessary for the implementation of the project, including the cost of goods and related costs associated with customs clearance, delivery, installation, commissioning, warranty, etc.	<p>It is mandatory to provide a justification for the need to purchase fixed assets (equipment and intangible assets), signed by the Principal Investigator.</p> <p><b>Scientific equipment purchased within the framework of the project can be transferred and used in shared laboratories.</b></p>

		2. Acquisition of software, settlement codes and/or licenses for their use, necessary for the implementation of the project.	<b><u>The cost of purchasing equipment and intangible assets should not exceed 40% of the total project cost.</u></b>
<b>4. Purchasing consumables</b>	The cost of consumables, fabrication of parts and other materials needed to implement the project.	1. Acquisition of reagents, substances, consumables, parts and other materials necessary for the implementation of the project. 2. Costs associated with the acquisition of materials, including the cost of goods, customs clearance, delivery, etc. 3. Other costs not listed above.	It is mandatory to provide a justification for the need to purchase materials, signed by the Principal Investigator

<b>5. Third party services</b>	Third party services, which include local outsourcing (in Kazakhstan) and external outsourcing (international).	Fabrication of parts, data collection and processing, analytical and other types of work that are important for the successful implementation of the project and cannot be performed by the project team (including services for the IP protection and management).	In accordance with the terms of the concluded agreements.  <b><u>The cost of third party services should not exceed 40% of the total project cost.</u></b>
<b>6. Other expenses</b>	Other costs necessary for the successful implementation of the project and not covered by the previous sections.	Other costs necessary for the successful implementation of the project and not covered by the previous sections.	By agreement

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**Form of conclusion based on the results of financial examination**

№	Expenditures Items	Ammount, thousands tenge	Short description of expenditures	Compliance with allowable expenditure types (Yes/No)	Compliance with allowable expenditure limits (Yes/No)	Notes/Explanations
1.	Payroll fund (wages)					
2.	Travel expenses					
3.	Purchase of equipment and intangible assets					
4.	Purchasing consumables					
5.	Third party services					
6.	Other expenses					

Conclusion:

— The declared expenditures for the implementation of the Project **correspond** to the types and limits of expenditures established by the "Rules of the "Center for scientific and technological initiatives "Samgau" Foundation on selection and evaluation of scientific and technological initiatives group of companies of Samruk-Kazyna JSC



— The declared expenditures for the implementation of the Project **do not correspond** to the types and limits of expenditures established by the "Rules of the "Center for scientific and technological initiatives "Samgau" Foundation on selection and evaluation of scientific and technological initiatives group of companies of Samruk-Kazyna JSC

Annex 7 to the Rules of  
Center for scientific and technological  
initiatives "Samgau" Foundation  
on selection and evaluation  
of scientific and technological initiatives of the  
group of companies of Samruk-Kazyna JSC

**The procedure  
for conducting financial and economic examination (FEE) of applications**

1. The purpose of the FEE is to assess the financial and economic attractiveness of the project and the reasonableness of all costs declared by the Applicant to achieve the goals of the Project.
2. FEE includes:
  - a. validity check of each item of income and expenses for the Project;
  - b. check of rationality of the initial data, assumptions made, methods for calculating income, expenses and production costs, the completeness of the costs taken into account, the share of co-funding of the project, the calculation of indicators of financial efficiency and financial viability of the Project;
  - c. verification of the feasibility and efficiency of the Project funding scheme;
  - d. check of relevant assumptions, as well as assessing the objectivity of the assumptions taken to assess the potential sales market, in terms of market size, the level of self-sufficiency of the domestic market, the potential for import substitution;
  - e. other financial and economic aspects of the Project.
3. At any stage of the FEE, the Samgau can request additional information and clarifications from the applicant for the preparation of the FEE conclusion.
4. The examination conclusion of the FEE can be as follows:
  - approve, in case of a positive conclusion; or
  - reject if negative.
5. For Applications that have received a negative conclusion from the FEE, the examination conclusion shall be sent to the Applicant following the request of the Applicant.

Annex 8 to the Rules of  
Center for scientific and technological  
initiatives "Samgau" Foundation  
on selection and evaluation  
of scientific and technological initiatives of the  
group of companies of Samruk-Kazyna JSC

**Form of conclusion of the Financial and Economic Examination**

**Section 1: Assessment of the expected financial and economic effect**

	<b>Criterion</b>	
1	Assessment of the quality and completeness of the initial data, assumptions made, methods for calculating income, expenses, and production cost	Description
2	Benefit Cost Ratio	Calculation
3	NPV (if applicable)	Calculation
4	Potential for technology scalability	Description
5	Commercialization form	Description
6	Potential risks	Description
7	Other criteria	Calculation / Description

	<b>Name</b>	<b>Date</b>	<b>Signature</b>
Section 1 completed by:		___/___/___	
Endorsed by:		___/___/___	

**Conclusion:** (not less than 10 but not more than 50 words)

**Section 2: Assessment of the reasonableness of the expenses**

<b>Expenditure item</b>	<b>Requested amount</b>	<b>Justified amount</b>	<b>Estimated % of cost justification</b>	<b>Comments</b>
<b>Stage 1</b>				
Payroll fund (wages)				
Equipment and intangible assets				
Consumables				

Third party services				
Travel expenses				
Patenting, IP evaluation				
Unforeseen expenses				
<b>Stage 2</b>				
Payroll fund (wages)				
Equipment and intangible assets				
Consumables				
Third party services				
Travel expenses				
Patenting, IP evaluation				
Unforeseen expenses				
<b>Total justified amount</b>				

**Conclusion:** (not less than 10 but not more than 50 words)

	<b>Name</b>	<b>Date</b>	<b>Signature</b>
Section 1 completed by:		___/___/___	
Endorsed by:		___/___/___	

**Final conclusion:** (positive / negative recommendation)

	<b>Name</b>	<b>Date</b>	<b>Signature</b>
Endorsed by:		___/___/___	
Approved by:		___/___/___	