



**On approval of the rules for assigning and revising the status of a scientific organization in the field of healthcare, as well as the rules for assessing the effectiveness of scientific, scientific-technical and innovative activities**

*Unofficial translation*

Order of the Minister of Healthcare of the Republic of Kazakhstan dated December 23, 2020 No. KR HM-316/2020. Registered in the Ministry of Justice of the Republic of Kazakhstan on December 24, 2020 No. 21894.

**Unofficial translation**

Under paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan “On Public Health and Healthcare System”, **I HEREBY ORDER:**

**Footnote. The preamble - as revised by order of the Minister of Health of the Republic of Kazakhstan № 67 of 10.04.2023 (shall come into effect ten calendar days after the date of its first official publication).**

1. To approve:

- 1) the rules for assigning and revising the status of a scientific organization in the field of healthcare in accordance with Appendix 1 to this order;
- 2) the rules for assessing the effectiveness of scientific, scientific-technical and innovative activities in accordance with Appendix 2 to this order.

2. The Department of Science and Human Resources of the Ministry of Healthcare of the Republic of Kazakhstan, in the manner established by the legislation of the Republic of Kazakhstan, shall ensure:

- 1) state registration of this order in the Ministry of Justice of the Republic of Kazakhstan;
- 2) placement of this order on the Internet resource of the Ministry of Healthcare of the Republic of Kazakhstan after its official publication;
- 3) submission of information on implementation of the measures provided for in subparagraphs 1) and 2) of this paragraph to the Legal Department of the Ministry of Healthcare of the Republic of Kazakhstan within ten working days after the state registration of this order in the Ministry of Justice of the Republic of Kazakhstan.

3. Control over the execution of this order shall be entrusted to the Vice-Minister of Healthcare of the Republic of Kazakhstan A. Giniyat.

4. This order comes shall be enforced upon the expiration of ten calendar days after its first official publication.

*Minister of Healthcare  
of the Republic of Kazakhstan*

*A. Tsoy*

"AGREED"

Ministry of Education and  
Science of the Republic of Kazakhstan  
Approved by order of the  
Minister of Health of the Republic of  
Kazakhstan  
№ KR DSM-316/2020  
of December 23, 2020  
Annex 1 to the order

## **Rules of Assignment and Revision of the Status of Research Organisations in the Field of Public Health**

**Footnote. The Rules - as revised by order of the Minister of Health of the Republic of Kazakhstan № 67 of 10.04.2023 (shall become effective ten calendar days after the date of its first official publication).**

### **Chapter 1. General provisions**

1. These Rules of Assignment and Revision of the Status of Research Organisation in the Field of Public Health (hereinafter - the Rules) have been elaborated under paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan “On Public Health and the Healthcare System” (hereinafter - the Code) and establish the procedure for assignment and revision of the status of a research organisation in the field of public health based on the results of evaluation of the performance of scientific, scientific-technical and innovation activities.

2. The status of a research organisation in the field of public health shall be assigned in view of order of the Minister of Health of the Republic of Kazakhstan № KR DSM-117/2020 of October 8, 2020 “On Approval of the Nomenclature of Public Health Organisations” (recorded in the Register of State Registration of Regulatory Legal Acts under № 21385) (hereinafter referred to as the Order).

3. The following terms and definitions are used herein:

1) scientific activity is an activity focused on the study of the surrounding reality in order to identify the properties, features and regularities inherent in the studied objects, phenomena (processes), and the use of the obtained knowledge in practice;

2) scientific and technical activity is an activity intended to obtain and apply new knowledge in all fields of science, technology and production to solve technological, design, economic, socio-political and other issues, to ensure the functioning of science, technology and production as a unified system, including the development of regulatory and technical documentation required for these studies;

3) scientific organisation in the field of public health is a national centre, scientific centre or research institute, engaged in scientific, scientific-technical and innovative activities in the field of public health, as well as medical, pharmaceutical and (or) educational activities;

4) competent authority in the field of public health (hereinafter referred to as the competent authority is the central executive body exercising management and inter-sectoral coordination in the field of health protection of citizens of the Republic of Kazakhstan, medical and pharmaceutical science, medical and pharmaceutical education, sanitary and epidemiological welfare of the population, circulation of medicines and medical devices, quality of medical services (assistance) provision);

5) healthcare organisation is a legal entity engaged in activities in the field of public health;

6) innovative activity is an activity (including intellectual creative, scientific, scientific-technical, technological, industrial-innovative, info-communication, organisational, financial and (or) commercial activity) intended to create innovations;

7) Scientific Council of the Ministry of Public Health of the Republic of Kazakhstan ( hereinafter - Scientific Council is an advisory and consultative body under the Ministry of Public Health of the Republic of Kazakhstan, established for the purpose of enhancing the development of medical and pharmaceutical science, coordination of scientific activities in the field of public health.

## **Chapter 2: Procedure for assigning the status of a research organisation in the field of public health**

4. The procedure for assigning the status of a research organisation in the field of public health shall include:

1) presentation by a healthcare organisation to the competent authority of its application for the status of a scientific organisation in the field of public health, including details of:

on available scientific units and research staff;

on the results of scientific, scientific-technical and innovative activity for the last 3 years;

2) review of the application for assigning the status of a research organisation in the field of public health by the Scientific Council of the competent authority (hereinafter referred to as the Scientific Council) within a period not exceeding 60 working days through::

evaluation of the potential of the healthcare organisation to scientific, scientific-technical and innovative activity;

evaluating the conformity of the healthcare organisation with the requirements for human resources and income from research activities mentioned in paragraph 9 hereof, as well as evaluating the results of scientific, scientific-technical and innovation activities over the last 3 years;

3) adoption by the Scientific Council of one of the following resolutions:

on approval of the presentation of the healthcare organisation's application for the status of a research organisation in the field of public health;

refusal to issue an approval (with justification) for the presentation of a healthcare organisation to be assigned the status of a research organisation in the field of public health.

5. The Scientific Council shall approve the application of the healthcare organisation to be assigned the status of a research organisation in the field of public health if the organisation conforms to the requirements mentioned in paragraph 9 hereof and has been active for the last three years on such indicators of evaluation of the performance of scientific, scientific-technical and innovative activities as the number of publications in Web of Science, Scopus, Springer and citation of scientific papers.

6. The Scientific Council shall reject to issue approval (with justification) for the application of the healthcare organisation for assignment of the status of a research organisation in the field of healthcare in case of incompliance of the organisation with the requirements referred to in paragraph 9 hereof and absence of activity for the last three years on such indicators of evaluation of the performance of scientific, scientific-technical and innovative activity as the number of publications in Web of Science, Scopus, Springer and citation of scientific works.

7. The potential for scientific, scientific-technical and innovative activity shall be estimated based on the analysis of the data presented by the healthcare organisation on the presence in the structure of the organisation of scientific units, equipment and facilities needed to conduct scientific research in the field of healthcare, as well as research personnel, which account for at least 10% of the total number of production personnel of the applicant organisation, with the presence of at least 50% of the research personnel:

1) academic degrees of Doctor and (or) Candidate of Sciences and (or) Doctor of Philosophy and (or) Doctoral degree in the profile;

2) at least 1 publication in the editions indexed in Web of Science, Scopus, Springer for the last 5 years and non-zero Hirsch index;

3) research experience of at least 5 years of the total length of service.

8. The performance of scientific, scientific-technical and innovation activities of a healthcare organisation shall be estimated in the order established by paragraph 1 of Article 225 of the Code.

9. The healthcare organisation shall confirm its conformance with the following requirements for human resources capacity and income from scientific and innovative activities and types of research activities (biomedical, sociological and analytical research):

1) the share of scientific staff, as well as staff members of temporary research teams from among the production staff, from the total number of production staff of the healthcare organisation is not less than 10%;

2) the share of income from research and innovation activities in the total budget of the organisation is:

not less than 0.5% for a clinical organization;

not less than 5 % for non-clinical organisations.

10. Based on the approval of the Scientific Council, the competent authority shall:

1) in respect of healthcare organisations, the founder thereof is the Government of the Republic of Kazakhstan, with 100% participation of the state, send a draft decision to the Government of the Republic of Kazakhstan on renaming the healthcare organisation into a research organisation;

2) in respect of healthcare organisations founded by local executive bodies of regions, cities of national importance and the capital city, forward a recommendation to the akimat of the relevant region on renaming the healthcare organisation as a research organisation;

3) in respect of non-state healthcare organisations directs a recommendation to their founders (participants) on renaming of a legal entity into a scientific organisation.

The status of a research organisation in the field of public health shall be assigned indefinitely and withdrawn in the order established in Chapter 3 hereof.

### **Chapter 3: Procedures for reviewing the status of a research organisation in the health sector**

11. The Scientific Council shall annually examine the findings of the evaluation of the efficiency of scientific, scientific-technical and innovative activity of scientific organizations in the field of public health not later than April 30.

12. Within 10 working days after the meeting on examination of the findings of the evaluation of the efficiency of scientific, scientific-technical and innovative activity shall present to the competent authority a submission on withdrawal of the status of research organisation in the field of public health from the research organisation being evaluated in the field of public health in case of revealing of one of the following facts:

1) the negative dynamics and (or) lack of activity in four or more indicators of scientific, scientific-technical and innovation activity for the last 3 years (as per the data of evaluation of the efficiency of scientific, scientific-technical and innovation activity, performed under the Rules of Assessment of the Efficiency of Scientific, Scientific-Technical and Innovation Activity, approved by Annex 2 to this Order);

2) non-conformity of a research organisation in the field of public health to one of the requirements specified in paragraph 9 hereof for the last 3 years (based on the data of reports of scientific organisations on the implementation of the Organisation Development Plans).

13. On the grounds of submission of the Scientific Council on withdrawal of the status of research organisation, the competent authority within 10 working days:

1) shall forward to the Government of the Republic of Kazakhstan a petition on renaming of a healthcare organisation with withdrawal of its status of a research organisation in the field of public health in respect of healthcare organisations, the founder thereof is the Government of the Republic of Kazakhstan;

2) shall issue an order on withdrawal of the status of a research organisation in the field of public health with respect to other healthcare organisations.

14. Upon disagreement with the decision of the Scientific Council on refusal to issue approval for assignment of the status of a research organisation in the field of public health or

withdrawal of the status of a research organisation, a healthcare organisation shall lodge a complaint with the competent authority within a period of up to 20 working days.

15. The Appeal Commission for consideration of the complaint against the decisions of the Scientific Council shall operate as per Decree of the Government of the Republic of Kazakhstan № 658 of September 6, 2022 “On Approval of the Regulations on the Appeal Commission”.

16. Following the findings of the examination of the complaint, the appeal commission shall take one of the following decisions:

1) to recommend to the competent authority to satisfy the complaint of the healthcare organisation with regard to the refusal to issue an approval for assignment of the status of a research organisation or withdrawal of the status of a research organisation;

2) to refuse to satisfy the complaint.

17. The decision of the Appeal Commission shall be taken by a simple majority of votes and shall be formalised by a protocol. Should there be an equality of votes, the presiding person's vote shall be decisive.

Should there be disagreement with the decision of the Appeal Commission, it shall be appealed against in the order envisaged by the Administrative Procedural and Procedural Code of the Republic of Kazakhstan.

Approved by order of the  
Minister of Health of the Republic of  
Kazakhstan  
№ KR DSM-316/2020  
of December 23, 2020  
Annex 2 to the order

## **Rules for Evaluating the Efficiency of Scientific, Scientific-Technical and Innovative Activities**

**Footnote. The Rules - as revised by order of the Minister of Health of the Republic of Kazakhstan № 67 of 10.04.2023 (shall come into effect ten calendar days after the date of its first official publication).**

### **Chapter 1: General provisions**

1. These Rules for Evaluating the Efficiency of Scientific, Scientific-Technical and Innovative Activities (hereinafter - the Rules) have been elaborated as per paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan “On Public Health and Healthcare System” and specify the procedure for evaluation of the efficiency of scientific, scientific-technical and innovative activities.

2. The following terms and definitions are used herein:

1) journal impact factor is a formal numerical indicator of the significance of a scientific journal, calculated as the ratio of the number of citations received by the journal in the current

year for articles published in this journal in the previous two years to the number of articles published in this journal in the same two previous years;

2) Hirsch index or h-index is a scientometric indicator of a scientist. The Hirsch index is calculated using the distribution of citations of a researcher's work: a scientist has h-index if h of his/her N articles are cited at least h times each, while the remaining N-h of his/her articles are cited no more than h times each;

3) quartile (Q) is a category of scientific journals, which is defined by bibliometric indicators reflecting the level of citation, i.e. the demand for the journal by the scientific community. Journals in a narrow field of interest shall be ranked in descending order of the relevant indicator (journal impact factor or normalised SJR index) and the list shall be divided into 4 equal parts. As a result of ranking, each journal falls into one of four quartiles: from Q1 (the highest, to which the most authoritative foreign journals belong) to Q4 (the lowest);

4) normalised SJR index (Scimago Journal Ranking) is a formal numerical indicator of the significance of a scientific journal, the calculation thereof considers not only the total number of citations, but also weighted citation rates by year and qualitative indicators such as citation authority. The normalised SJR index shall be calculated by the SCImago research group, which is engaged in analysis, presentation and information retrieval using visualisation techniques, for journals indexed in the Scopus Database;

5) reporting period is a period of time for which there is an estimation of the efficiency of scientific, scientific-technical and innovative activity of higher and (or) postgraduate education and scientific organizations in the field of public health calculated from January 1 to December 31 for the previous year;

6) organisation under evaluation is an organisation of higher and (or) postgraduate education or a scientific organisation in the field of public health, providing data on indicators and rates of scientific and innovative activity;

7) operational staff means employees of scientific units and teaching staff of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health, as well as employees of clinical units of a university hospital and a scientific organisation in the field of clinical health, staff of units involved in medical and pharmaceutical activities, activities in the field of public health protection and public health organisation, in a research organisation in the field of non-clinical healthcare (excluding service, educational, auxiliary and nursing medical staff);

8) research organisation in the field of public health is a national centre, scientific centre or research institute, engaged in scientific, scientific-technical and innovative activities in the field of public health, as well as medical, pharmaceutical and (or) educational activities;

9) scientific activity is an activity focused on the study of the surrounding reality for the purpose of revealing properties, features and regularities inherent in the studied objects, phenomena (processes), and the use of the obtained knowledge in practice;

10) competent authority in the field of public health (hereinafter - the competent authority is a central executive body exercising management and inter-sectoral coordination in the field of health protection of citizens of the Republic of Kazakhstan, medical and pharmaceutical science, medical and pharmaceutical education, sanitary and epidemiological well-being of the population, circulation of medicines and medical devices, quality of medical services (care));

11) scientific and technical activity is an activity focused on obtaining and applying new knowledge in all fields of science, technology and production to solve technological, design, economic, socio-political and other tasks, ensuring the functioning of science, technology and production as a unified system, including the development of normative and technical documentation required for these studies;

12) innovation activity is an activity (including scientific, scientific-technical, technological, info-communication, organisational, financial and (or) commercial activity) intended to create innovations;

13) organisation of higher and (or) postgraduate education is a higher educational institution offering educational programmes of higher and (or) postgraduate education and engaged in research activities.

## **Chapter 2: Procedures for evaluating the efficiency of scientific, scientific-technical and innovation activities**

3. The efficiency of scientific, scientific-technical and innovative activities of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall be estimated:

1) by the indicators of scientific, scientific-technical and innovative activity of operational staff;

2) by the level of innovation activity in terms of clinical practice;

3) by parameters of scientific, scientific-technical and innovative activity of students (students, interns, residents, master's students, doctoral students).

4. The efficiency of scientific, scientific-technical and innovative activity of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall be evaluated as per the procedure for evaluation of indicators of efficiency of scientific, scientific-technical and innovative activity pursuant to Annex 1 hereto.

The working body responsible for evaluation of scientific, scientific-technical and innovation activity performance (hereinafter referred to as the working body) shall be established by the competent authority. The working body shall implement the functions of organisation and technical support of the procedure of evaluation of efficiency of scientific, scientific-technical and innovation activity.



5. When estimating the efficiency of scientific, scientific-technical and innovative activity of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health:

1) the following formula shall be used for indicators of scientific, scientific-technical and innovation activity of the operational staff:

$$S_a = I_1 \times Q_1 + I_2 \times Q_2 + I_3 \times Q_3 + I_4 \times Q_4 + I_5 \times Q_5 + I_6 \times Q_6,$$

where  $S_a$  is the total score of the efficiency of scientific and innovative activity of the organisation of higher and (or) postgraduate education and scientific organisation in the field of public health by the indicators of scientific, scientific-technical and innovative activity of the operational staff;

$I_1, \dots, I_6$  is the sum of evaluation by indicators 1-6 of Annex 1 hereto;

$Q_1, \dots, Q_6$  – weighting coefficients of the respective indicators.

2) by the level of innovation in clinical practice shall be calculated using the following formula:

$$S_b = I_7,$$

where  $S_b$  is the total score of innovation efficiency in terms of clinical practice of a scientific organisation in the field of clinical healthcare and an organisation of higher and postgraduate education, which has a university hospital in its structure;

$I_7$  – the sum of the evaluation for indicator 7 of Annex 1 hereto;

3) for indicators of scientific, scientific-technical and innovative activity of students (students, interns, residents, masters, doctoral students) shall be calculated by the formula:

$$S_c = I_8 \times Q_8 + I_9 \times Q_9 + I_{10} \times Q_{10} + I_{11} \times Q_{11},$$

where  $S_c$  is the total score of the efficiency of scientific and innovative activity of the organisation of higher and (or) postgraduate education and scientific organisation in the field of public health by the indicators of scientific, scientific-technical and innovative activity of students (students, interns, residents, masters, doctoral students);

$I_8, \dots, I_{11}$  is the sum of the score for indicators 8-11 of Annex 1 hereto;

$Q_8, \dots, Q_{11}$  is the weighting coefficients of the corresponding indicators.

6. Organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall present to the working body information on indicators on paper or electronic media, as well as the list and electronic archive of scanned copies of supporting documents for each indicator (electronic archive is formed in the context of individual indicators and indicators) by the 25th day of the month following the reporting period. In agreement with the competent authority, the working body shall decide on the form in which the information on the indicators to be reported.

Organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall present supporting documents as per the requirements stipulated in the conditions for offsetting indicators and the list of supporting documents for individual indicators as per Annex 2 hereto.

7. Data on indicators for which the organisation under evaluation has not submitted supporting documents shall not be considered when calculating the ranking results and in case of later receipt of supporting documents by the authors shall be counted in the indicators of the next reporting period.

8. The efficiency of scientific, scientific-technical and innovative activity of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall be assessed within three categories:

- 1) research organisations in the field of public health of clinical profile;
- 2) scientific organisations in the field of public health of non-clinical profile;
- 3) organisations of higher and (or) postgraduate education in the field of public health.

9. The efficiency of innovative activities in the clinical practice of higher and (or) postgraduate education organisations and scientific organisations in the field of public health shall be estimated within two categories:

- 1) research organisations in the field of clinical healthcare;
- 2) organisations of higher and (or) postgraduate education in the field of public health having a university hospital in its structure.

10. Outcomes of the estimation of efficiency of scientific, scientific-technical and innovative activity of organisations of higher and (or) postgraduate education and scientific organisations in the field of public health shall be considered at the Scientific Council of the competent authority and shall serve as a ground for revision of the status of scientific organisation in the field of public health.

11. Not less than 10 working days prior to the presentation of the findings of the evaluation of the efficiency of scientific, scientific-technical and innovation activity for consideration by the Scientific Council of the competent authority, the working body shall place on its official website the results of the verification of compliance of supporting documents provided by the evaluated organisations with the conditions for offsetting the indicators, as well as inform the evaluated organisations on the findings of the verification of supporting documents.

The organisations being evaluated (in case of disagreement with the findings of the verification of supporting documents) shall provide the working body with a substantiated position on their disagreement and (or) additional supporting documents within 5 working days after the findings of the verification of compliance with the supporting documents are posted on the official website of the working body. The outcomes of the examination of the documents provided by the working body shall be delivered to the organisation being assessed in writing within 5 working days.

12. Within 3 working days after the meeting of the Scientific Council of the competent authority, the working body shall publish the evaluation results of scientific, scientific-technical and innovation activity efficiency on its official website.

## Procedure for evaluating the efficiency indicators of scientific, scientific-technical and innovation activities

	Indicator name		Procedure for evaluation of indicator components	Mechanism for calculating the total score for the indicator	Weighting factor
	№	Indicator evaluation components			
Indicators of scientific, scientific-technical and innovative activities of the operational staff					
1	Volume of income from scientific research			(Sum of scores for indicators 1.1-1.5) / (number of full-time positions of the operational staff in the organisation being evaluated)	0,1
	1.1	Amount of financial resources attracted for research as part of the budget programme-targeted financing in the reporting year	0.2 points × k1 shall be assigned for each KZT 500 thousand		
	1.2	Volume of financial resources attracted for research under grant (by residents of the Republic of Kazakhstan) in the reporting year	0.2 points × k1 shall be assigned for each KZT 500 thousand		
	1.3	Amount of financial resources attracted for research under grant financing (from non-residents of the Republic of Kazakhstan and foreign grantors)	0.3 points × k1 shall be assigned		

		in the reporting year	for each KZT 500 thousand		
	1.4	Amount of financial resources attracted for research under other forms of funding in the reporting year	0.2 points × k1 shall be assigned for each KZT 500 thousand		
	1.5	Amount of financial resources allocated for research under initiative research (self-financing) in the reporting year	0.15 points shall be assigned for each KZT 500 thousand		
	Number of publications in Web of Science, Scopus, Springer			(Amount of scores for indicators 2.1-2.3) / (number of full-time positions of the operational staff in the organisation being evaluated)	0,25
2	2.1	Articles in scientific publications, in Web of Science, Scopus, Springer databases.	10 points × k2.1 × k2.2 × k2.3 shall be assigned for 1 article		
	2.2	Scientific monographs indexed in Web of Science, Scopus, Springer databases	200 points × k2.3 shall be assigned for 1 monograph		
	2.3	Chapters in collective monographs indexed in Web of Science, Scopus, Springer databases	50 points × k2.3 shall be assigned for a chapter of the monograph		
	2.4	Short publications (letter to the editor, correspondence, commentary,	1 point × k2.1 × k2.2 × k2.3 shall		

		response to commentary), excluding conference papers	be assigned for 1 publication		
3	Citation of research papers			((Sum of points for indicators 3.1-3.2) / (number of full-time operational staff in the organisation being assessed)) + (Sum of points for indicators 3.3-3.4))	0,25
	3.1	Number of citations of research papers (published within the last 5 years) in the reporting year as per Web of Science or Scopus (in case of availability of data on citations of a research paper in both databases, the value from the database where the citation has the maximum value shall be used).	5 points × k3.1 shall be assigned for 1 citation		
	3.2	Number of citations of research papers (published within the last 5 years) in the reporting year as per the Google Scholar data	0,5 points × k3.1 shall be assigned for 1 citation		
		Average value of squares of the Hirsch index of the industrial staff as per Web of Science or Scopus data (in case of availability of			

	3.3	data on the employee's Hirsch index in both databases, the value from the database where the Hirsch index has the maximum value shall be used) as of the end of the reporting year.	1 point × average of squares of the Hirsch Index		
	3.4	Mean value of squares of the Hirsch index of production personnel as per the Google Scholar data at the end of the reporting year	0.5 points × average of squares of the Hirsch index		
4	Number of patents and other protective documents (where the organisation itself is named as the patent holder))			(Sum of points for indicators 4.1-4.3) / (number of full-time positions of the operational staff in the organisation being evaluated)	0,15
	4.1	Patents granted by foreign or international patent agencies in the reporting year	100 points × k4 shall be assigned for 1 patent		
	4.2	Patents of the Republic of Kazakhstan granted for invention, utility model in the reporting year	50 points shall be assigned for 1 patent		
	4.3	Certificate of registration of the intellectual property item in the reporting year	3 points shall be assigned for 1 certificate		
				(Sum of points for indicator 5.1) / (number of full-time positions of the	0,15

5	Level of commercialisation of the outcomes of scientific research and innovation activities		operational staff in the organisation being evaluated)	
	5.1	Amount of income received in the reporting year as a result of commercialisation of research developments and innovations (for which a protection document with the right of ownership of the assessed organisation has been obtained within the last 3 years).)	0.2 points shall be assigned for each KZT 500 thousand of income	
6	Level of participation in international conferences and forums		(Sum of points for indicator 5.1 of the organisation) / (number of full-time positions of the operational staff in the organisation being evaluated)	0,1
	6.1	Number of publications (abstracts, articles) in the proceedings of international scientific conferences (Conference Proceedings) indexed in the scientific information databases of the Web of Knowledge and Scopus.	10 points × k6 shall be assigned for each publication	
Further indicators of innovative activities of clinical health research organisations and university hospitals of higher and postgraduate education organisations Indicators of innovation in clinical practice settings				

Additional indicators of innovation activity of clinical health research organisations and university hospitals of higher and postgraduate education organisations

7	Level of innovation activity in the context of clinical practice			(Sum of points for indicators 7.1-7.3) / (number of full-time positions of the operational staff in the organisation being evaluated)	-
	7.1	Number of high-tech medical services (hereinafter - HTMS) rendered by the organisation in the reporting year	10 points shall be assigned for each HTMS		
	7.2	Number of types (codes) of HTMU and regions, where they were successfully introduced by employees of scientific organisation / university hospital into practical activities of healthcare organisations of regions, Almaty city, Astana city, Shymkent city in the reporting year	2 points shall be assigned for each HTMS		
	7.3	Number of new types (codes) of HTMU approved by the MoH, initiated by a research institute, NTs in the reporting period	12 points shall be assigned for each HTMS		
Indices of scientific, scientific-technical and innovative activity of learners (students, interns, residents, masters, doctoral students)					
				(Sum of points for indicators 8.1-8.2) / (Average annual number of	



8	Number of publications in Web of Science, Scopus, Springer		residents, master's students, doctoral students in the organisation under assessment)	0,3
	8.1	Articles in research publications in the Web of Science, Scopus, Springer databases.	10 points × k8.1 × k8.2 × k8.3 shall be assigned for 1 article	
	8.2	Short publications (letter to the editor, correspondence, commentary, response to commentary, etc.), excluding conference proceedings	1 point × k2.1 × k2.2 shall be assigned for 1 publication	
9	Citation of research papers		(Sum of points for indicators 9.1-9.2) / (Average annual number of residents, master's students, doctoral students in the organisation being evaluated)	0,3
	9.1	Number of citations of research papers (published within the last 5 years) in the reporting year based on the Web of Science or Scopus data (in case of availability of data on citation of scientific work in both databases, the value from the database where the citation has the maximum value is used)	5 points × k9.1 shall be assigned for 1 citation	

	9.2	Number of citations of scientific papers (published within the last 5 years) in the reporting year as per Google Scholar data	5 points × k9.1 shall be assigned for 1 citation		
10	Number of patents and other protective documents (where the organisation itself is named as the patent holder)			(Sum of points for indicators 10.1-10.3) / (Average annual number of residents, master's students, doctoral students in the organisation being evaluated)	0,2
	10.1	Patents granted by foreign or international patent agencies in the reporting year	100 points × k10 shall be assigned for 1 patent		
	10.2	Patents of the Republic of Kazakhstan for invention, utility model in the reporting year	50 points shall be assigned for 1 patent		
	10.3	Certificate of registration of the intellectual property item in the reporting year	3 points shall be assigned for 1 certificate		
	Level of participation in international conferences and forums			(Sum of points for indicators 11.1-11.6) / (Average annual number of residents, master's students, doctoral students in the organisation being evaluated)	0,2
	11.1	with an oral presentation (with travelling abroad)	6 points shall be assigned for 1 report		

11	11.2	with a poster presentation (with travelling abroad)	4 points shall be assigned for 1 report		
	11.3	with an oral report (on the territory of the Republic of Kazakhstan)	2 points shall be assigned for 1 report		
	11.4	with a poster presentation (on the territory of the Republic of Kazakhstan)	1 point shall be assigned for 1 report		
	11.5	Number of publications (abstracts, articles) in the proceedings of international scientific conferences (Conference Proceedings) indexed in the scientific information databases Web of Science or Scopus.	10 points × k11 shall be assigned for each publication		
	11.6	with publication of the thesis (article) in the collection of conference materials indexed by databases of scientific information of RK and CIS countries	0,5 points shall be assigned for 1 thesis		

Note:

1. Coefficient  $k1 = 0.1$  shall be applied to the volume of funds administered by the organisation as a parent organisation minus the volume of funds independently administered. The  $k1$  coefficient shall not be applied to the volume of funds that the organisation uses independently (for instance, the organisation receives programme-targeted financing of KZT 10,000 thousand, of which it uses KZT 1,000 thousand and gives KZT 9,000 thousand to co-executors). The calculation formula shall be as follows -  $((1000/500) \times 0.2) + (9000/500) \times 0.2 \times 0.1$ ).

2. Publications where the authors or one of the authors is affiliated with the organisation being evaluated shall be regarded for indicators 2, 3, 8 and 9 (the author's affiliation with the organisation being evaluated is specified in the publication).

3. Coefficient  $k_{2.1} = 1$  if the journal has a quartile Q4;  $k_{2.1} = 10$  if the journal has a quartile Q3;  $k_{2.1} = 20$  if the journal has a quartile Q2;  $k_{2.1} = 30$  if the journal has a quartile Q1.

4. Coefficient  $k_{2.2} = 0.5$  shall be applied if the publication is published in the state language, Russian (and other state languages of CIS countries).

5. Coefficient  $k_{2.3} = 1$  shall be applied for articles and short publications where the author affiliated with the organisation being evaluated is a 'correspondence author' or is among the first five authors, and for monographs and graphs of monographs - the author affiliated with the organisation being evaluated is among the first ten authors; otherwise  $k_{2.3} = 0.5$ .

6. The coefficient  $k_{3.1} = 1$  shall be applied for research papers where the author affiliated with the organisation being evaluated is a 'correspondence author' or is among the first five authors, and for monographs and graphs of monographs - the author affiliated with the organisation being evaluated is among the first ten authors; otherwise  $k_{3.1} = 0.5$ .

7. The mean value of squares of the Hirsch index of the productive staff shall be calculated by the formula  $= (h_1)^2 + (h_2)^2 + (h_3)^2 + \dots + (h_n)^2 / n$ , where  $h_1, h_2, h_3, \dots, h_n$  - Hirsch indices of individual individuals of the productive staff,  $n$  - number of individuals holding positions of the productive staff.

8. Coefficient  $k_4 = 1.5$  shall be applied if the patent is included in the Web of Science database.

9. Coefficient  $k_6 = 0.5$  shall be applied if the publication is published in the state language, Russian (and other state languages of the CIS countries).

10. A separate point shall be given for each successfully implemented HTMU in each separate oblast, Almaty, Astana, Shymkent in the healthcare organisation, confirmed by appropriate payment from the Fund - 2 points for Indicator component 7.2.

11. Factor  $k_{8.1} = 1$  if the log has quartile Q4;  $k_{8.1} = 10$  if the log has quartile Q3;  $k_{8.1} = 20$  if the log has quartile Q2;  $k_{8.1} = 30$  if the log has quartile Q1.

12. Coefficient  $k_{8.2} = 0.5$  shall be applied if the publication is published in the state, Russian language (and other state languages of the CIS countries).

13. The coefficient  $k_{8.3} = 1$  shall apply to articles and short publications where the author affiliated with the organisation being evaluated is a 'correspondence author' or is among the first five authors; otherwise  $k_{8.3} = 0.5$ .

14. The coefficient  $k_{9.1} = 1$  shall apply to research papers where the author affiliated with the organisation being evaluated is a 'correspondence author' or is among the first five authors; otherwise  $k_{9.1} = 0.5$ .

15. The coefficient  $k_{10} = 1.5$  shall apply if the patent is included in the Web of Science database.

16. Coefficient  $k_{11} = 0.5$  shall apply if the publication is published in the state, Russian language (and other state languages of CIS countries).

Annex 2  
to the Rules for Evaluating the  
Efficiency of Scientific,  
Scientific-Technical  
and Innovative Activities

**Indicator crediting conditions and list of supporting documents for individual indicators**

№	Indicator name		Supporting documents supplied by the organisation being evaluated
1	Volume of income from scientific research		1. A list of scientific programmes and projects with specification of the source of funding, terms of implementation, amount of funding, co-executors and (or) partners; 2. A confirmation of registration of the topic of scientific research in the national centre of scientific and technical information; 3. A copy of the agreement with the funding organisation
2	Number of publications in Web of Science, Scopus, Springer		1. A list of publications with their output data, the journal quartile and the name of the database in which the journal is indexed; 2. The actual web link to the publication page in the Web of Science, Scopus, and Springer databases shall be indicated for each article.
3	Citation of research papers	Number of citations of research papers	1. A list of articles that have been published within the last 5 years, showing the number of citations of each article in Web of Science, Scopus, Google Scholar in the reporting year; 2. The actual web link to the page with the list of

		<p>citations of this article shall be provided for each article</p>
		<p>Average value of squares of the Hirsch index of the operational staff</p>
4	Number of patents and other protective documents	<ol style="list-style-type: none"> <li>1. A list of patents with specification of patent holder, issuing agency, date of patent grant and registration number;</li> <li>2. A copy of the certificate of patent issuance shall be enclosed (a certificate of a favourable decision on patent issuance shall not be counted!);</li> <li>3. The actual web link to the page in the Web of Science database shall be given for the patent included in the Web of Science database</li> </ol>
5	Level of commercialisation of the outcomes of scientific research and innovation activities	<ol style="list-style-type: none"> <li>1. The list of commercialised technologies with specification of the name and registration data (number and date) of the protection document (which has been issued within the last 3 years), the amount of profit income received in the reporting year;</li> <li>2. A copy of the licence agreement, patent rights transfer agreement, other agreements between the patentee and the person to whom the right to use the technology is transferred.</li> <li>3. A protocol decision or an excerpt from the minutes of the Joint Commission on the Quality of Medical Services on the inclusion of this medical technology in the list of medical technologies reimbursed within the framework of the</li> </ol>

		<p>guaranteed volume of free medical care (hereinafter - GOBMP) and mandatory social health insurance (hereinafter - OSMS) shall be provided (for the last 3 years).</p>
6	<p>Level of participation in international conferences and forums</p>	<p>1. A list of abstracts (articles) with specification of authors, date and place of the conference, output data of published abstracts, database in which the collection is indexed;</p> <p>2. An actual web link shall be provided for each abstract (article) from the website of the scientific information database, where information about the indexed scientific collection is indicated.</p> <p>For conference papers:</p> <p>1. A list of reports and (or) abstracts with the specification of speakers and (or) authors, date and venue of the conference, output data of published abstracts, database in which the collection is indexed</p> <p>2. Copies of conference programmes, published articles</p>
7	<p>Level of innovation activity in the context of clinical practice</p>	<p>1. A list of performed HTMU in the scientific organisation/university hospital from the IS 'Medical Quality Management System' for the reporting period;</p> <p>2. Self-report on successfully implemented HTMU by the scientific organisation / university hospital in healthcare organisations of regions, cities of Almaty, Astana and Shymkent;</p> <p>3. Self-report of the research organisation and (or) university clinic on the</p>

		approved new HTMU for the reporting period
8	Number of job units (rates) of the operational staff as of the last day of the reporting period (indicator used for calculation of the score for all indicators)	1. A table showing the number of job units (rates) and the total number of the operational staff, including by individual categories of the operational staff, signed by the first head of the organisation being evaluated.
9	Average annual number of residents, master's and doctoral students in the organisation under assessment	1. A table showing the average annual number of students by individual categories (students, interns, master's students, doctoral students, residents), signed by the first head of the organisation being evaluated.