



**On approval of the Rules for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research**

*Invalidated Unofficial translation*

Decree of the Government of the Republic of Kazakhstan No. 575 dated May 25, 2011. Abolished by the Decree of the Government of the Republic of Kazakhstan dated November 23, 2023 No. 1022

*Unofficial translation*

**Footnote. Abolished by the Decree of the Government of the Republic of Kazakhstan dated November 23, 2023 No. 1022 (effective ten calendar days after the date of its first official publication).**

**Footnote. The heading - as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

In accordance with subparagraph 10) of Article 3 of the Law of the Republic of Kazakhstan "On Science", the Government of the Republic of Kazakhstan **hereby RESOLVES:**

**Footnote. Preamble- as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

1. Approve the attached Rules for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research.

**Footnote. Paragraph 1 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

2. This Decree shall become effective upon expiry of ten calendar days after the first official publication.

*Prime Minister of the  
Republic of Kazakhstan*

*K. Massimov*

Approved  
by Decree of the Government

**Rules for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research**

**Footnote. The heading - as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

Footnote. Rule- in the wording of the resolution of the Government of the RK dated 22.10.2021 № 758 (shall enter into force from the day of its first official publication).

**Chapter 1. General provisions**

1. These Rules for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research (hereinafter - the Rules), have been developed pursuant to the laws of the Republic of Kazakhstan "On Science" (hereinafter - the Law) and "On commercialization of the results of scientific and (or) scientific and technical activities" , define the procedure for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research at the state budget expense.

**Footnote. Paragraph 1 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

2. The following concepts shall be used in these Rules:

1) scientific and technical assignment within the program-targeted financing - the initial technical document for conducting strategic scientific research to address strategically important state tasks, including national scientific and technical tasks, establishing requirements for the content, scope and timing of these works;

2) subject of scientific and (or) scientific and technical activities - individuals and legal entities carrying out scientific and (or) scientific and technical activities;

3) private partner - individual entrepreneur, simple partnership, consortium or legal entity, with the exception of persons acting as state partners who have concluded a public-private partnership agreement;

4) state order - an order from the authorized body and (or) sectoral authorized bodies to the subject of scientific and (or) scientific and technical activities on the basis of an agreement for the performance of research works financed from the state budget in the form of base, grant, program-targeted financing and financing of scientific organizations engaged in fundamental scientific research;

5) grant for scientific, scientific and technical projects - budgetary funds provided on a gratuitous and irrevocable basis for the implementation of fundamental and applied scientific research within the framework of grant financing;

6) grant for commercialization of the results of scientific and (or) scientific and technical activities - budgetary and (or) extra-budgetary funds provided to an accredited subject of scientific and (or) scientific and technical activity and other participants declared in the project of commercialization of the results of scientific and (or) scientific and technical activities gratuitously and on non-repayable terms for the implementation of projects on commercialization of the results of scientific and (or) scientific and technical activities (hereinafter -RSSTA) within the priority economy sectors;

7) grant recipient on scientific, scientific and technical projects - accredited subjects of scientific and (or) scientific and technical activities, as well as autonomous educational organizations and their organizations that have concluded an agreement on grant financing of scientific and (or) scientific and technical activities (hereinafter - the grantee );

8) grantee for RSSTA commercialization projects – accredited subjects of scientific and (or) scientific and technical activities and other participants who have concluded an agreement on grant financing of a project for commercialization of RSSTA ( hereinafter - grantee for RSSTA commercialization projects);

9) The RSSTA commercialization project - a document that shall include the content of the proposed work aimed at the practical application of the RSSTA, including the results of intellectual activity, in order to bring to the market new or improved goods, processes and services aimed at generating income;

10) The RSSTA commercialization report - a document containing information on the results of the RSSTA commercialization project.

**Footnote. Paragraph 2 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

3. Financing of scientific and (or) scientific and technical activity subjects can be concurrent with various forms of financing in the manner and on the terms established by these Rules.

**Footnote. Paragraph 3 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

4. The contract for the fulfillment of the state order on base financing shall be concluded between the subject of base financing and the authorized body or sectoral authorized body to support the current activities of the base financing subject.

An agreement for the fulfillment of a state order and (or) a state assignment on grant or program-targeted financing shall be concluded between an accredited subject of scientific and (or) scientific and technical activities or an autonomous educational organization and its organization and an authorized body and (or) sectoral authorized body or legal entities established by the Government of the Republic of Kazakhstan that finance scientific and (or) scientific and technical activities, as well as commercialization of the results of scientific and (or) scientific and technical activities, for their entire duration, but not more than five years.

The contract for the execution of the state order for performing fundamental scientific research shall be concluded between an accredited subject of scientific and (or) scientific and technical activities, included in the list of scientific organizations engaged in fundamental scientific research, and the authorized body and (or) sectoral authorized body for their entire duration but not more than five years.

**Footnote. Paragraph 4 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

## **Chapter 2. Procedure for basic financing of scientific and (or) scientific and technical activities**

5. Base financing shall be allocated to state scientific organizations and scientific organizations equated to state ones, state organizations of higher and (or) postgraduate education, organizations of higher and (or) postgraduate education, whose fifty or more percent of voting shares (stakes in the authorized capital) are held by the state, and also higher and (or) postgraduate education organizations, in which fifty or more percent of the voting shares (stakes in the authorized capital) are directly or indirectly held by legal entities, whose fifty or more percent of the voting shares (stakes in the authorized capital) are held by the state, accredited in the authorized body and fulfilling the state assignment and (or) state order on conducting scientific research in priority areas for them (hereinafter -subjects of base financing), established by the sectoral authorized body.

Base financing shall not be allocated to scientific organizations included in the list of scientific organizations approved by the authorized body, carrying out fundamental scientific research.

**Footnote. Paragraph 5 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

6. The list of organizations that are base financing subjects shall be formed and approved by the authorized body on the basis of proposals from sectoral authorized bodies.

**Footnote. Paragraph 6 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

7. Base financing shall comprise expenses according to the base financing rates for the current maintenance of scientific infrastructure and property, including buildings, equipment and materials, wages for leading scientists, administrative and service staff, also information support for the scientific and technical activities of the subjects.

**Footnote. Paragraph 7 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

8. Subjects of basic financing who do not receive a state assignment and (or) a state order for conducting scientific research in priority areas for them, determined by an authorized body or an industry authorized body, shall be a subject to exclusion from the list of subjects of basic financing over the past two years.

9. The base financing subjects, with the exception of scientific organizations included in the list of scientific organizations approved by the authorized body, carrying out fundamental scientific research, shall annually, no later than April 1 of the year preceding the planned one, submit to the authorized body and (or) sectoral authorized body a budget application for base financing in accordance with the approved base financing norms, executed as required by budget legislation.

**Footnote. Paragraph 9 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

10. Basic financing standards shall be developed by the authorized body and approved by the Government of the Republic of Kazakhstan.

11. Industry authorized bodies shall submit consolidated budget applications for basic financing, executed in accordance with the budget legislation, to the authorized body no later than May 1 of the year preceding the planned one.

12. The authorized body shall submit consolidated budget application for basic financing to the central authorized body for budget planning in accordance with the procedure established by the budget legislation.

13. Financing of the subjects of basic financing shall be carried out by the authorized body and industry authorized bodies within the framework of the approved budget for the corresponding fiscal year under the allocated budget program.

14. The report on the use of the allocated funds for basic financing shall be submitted by the subjects of basic financing to the authorized body or industry authorized body by December 31 of the reporting year in the form specified in Annex 1 hereto.

By industry authorized bodies, a consolidated report on the use of the funds of basic financing of the subjects of scientific and (or) scientific and technical activities shall be submitted in the form, in accordance with Annex 2 to these Rules, to the authorized body by January 25 of the year following the reporting year.

The subject of basic financing shall ensure the reliability and legality of the information reflected in the report on the use of allocated funds for basic financing of subjects of scientific and (or) scientific and technical activities.

15. The reliability of documents and information data confirming the validity of inclusion in the list of subjects of basic financing and the volume of basic financing shall be provided by the authorized body, industry authorized bodies and subjects of scientific and scientific and technical activities.

### **Chapter 3. Procedure for program-targeted financing of scientific and (or) scientific and technical activities**

16. Program-targeted financing shall be allocated for strategic scientific research to address strategically important state tasks, including national scientific and technical tasks, and shall be competition-based. Program-targeted financing for applied scientific research in national security and defense, containing information constituting state secrets, may be allocated outside competitive procedures by decision of the Government of the Republic of Kazakhstan.

**Footnote. Paragraph 16 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

17. The Development Strategy of Kazakhstan until 2050, national priorities, national development plans, territorial development plans of the country, the concept for the development of industry/branch, national projects, development plans of state bodies and other programs aimed at implementing strategically important government tasks shall be the grounds for program-targeted financing of scientific research.

Footnote. Paragraph 17 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

18. Before February 1 of the year preceding the planned one, the sectoral authorized bodies shall direct proposals to the authorized body on priority and specialized areas of program-targeted financing, and also scientific and technical assignments within the program-targeted financing, indicating the financing amount.

Proposals for priority and specialized areas of sectoral authorized bodies shall be sent by the authorized body to the joint-stock company "National Center for State Scientific and Technical Expertise" (hereinafter - the center of expertise) within two working days from the date of the deadline for submitting proposals by sectoral authorized bodies.

Within two working days from the date of receipt of proposals for priority and specialized areas and amounts of program-targeted financing, the Center of expertise shall direct them for examination to national scientific councils (hereinafter -NSC).

The Center of Expertise shall send the decisions of the NSC to the authorized body before April 1 of the year preceding the planned one.

Scientific and technical assignments within program-targeted financing shall be developed by a task force formed by the authorized body or sectoral authorized body from among scientists, members of the NSC, specialists in the fields of science, representatives of the authorized state body, sectoral state bodies, before April 1 of the year preceding the planned one.

Proposals on priority areas and amounts of program-targeted financing recommended by the NSC decision, as well as scientific and technical assignments within the program-targeted financing developed by the task force, shall be submitted by the authorized body for consideration by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (hereinafter - HSTC ).

By May 1 of the year preceding the planned one the HSTC shall adopt a decision as established by the Regulations on the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan, approved by Resolution No. 429 of the Government of the Republic of Kazakhstan dated April 20, 2011 (hereinafter - HSTC Regulations).

Within fifteen working days from the date of the HSTC decision, the authorized body shall direct the decision of the HSTC to the central budget planning authority to determine the funding amount in accordance with the established procedure for consideration by the Republican Budget Commission (hereinafter - RBC).

Upon the adopted HSTC decision on priority areas for the development of science and amount of program-targeted financing on priority areas and consideration by RBC,

by September 1 of the year preceding the planned one, the authorized body and sectoral authorized bodies shall develop, approve the tender documentation for scientific and technical assignments approved by the HSTC and announce a competition for program-targeted financing within the funds set by the RBC decision.

In the event of reduction in funding amounts by the RBC, the budget program administrators shall distribute the amounts of funds approved by RBC to priority areas.

A competition for program-targeted financing for a scientific, scientific and technical program shall be announced by an authorized body or a sectoral authorized body, and the announcement shall be placed on the Internet resource of the authorized body or sectoral authorized body that announced the competition, as well as the Internet resource of the center of expertise.

**Footnote. Paragraph 18 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

19. The state scientific and technical expertise (hereinafter referred to as the SSTE), as well as the assessment of the validity of the requested amount, shall be carried out in accordance with the Rules for organizing and conducting state scientific and technical expertise approved by the Resolution of the Government of the Republic of Kazakhstan dated August 1, 2011 No. 891 (hereinafter referred to as the SSTE).

20. A targeted scientific (scientific and technical) program (hereinafter referred to as a target program) may include several subprograms aimed at solving specific tasks within the target program.

The division of the target program into subprograms shall be carried out on the basis of the scale and complexity of the problems being solved, as well as the need to rationally organize their solution with a specific result.

21. Target programs, the implementation of which is proposed on a competitive basis, as well as those proposed for financing outside competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets, shall be sent by the authorized body to the center of expertise to organize the state scientific and technical expertise (SSTE) within three working days after completion of the reception.

**Footnote. Paragraph 21 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

22. Target programs, the implementation of which is proposed on a competitive basis and outside competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets, shall be sent by the center of expertise for consideration by the relevant NSC after the procedures established by the Rules of the SSTE.



NSCs shall examine targeted programs, proposed for implementation on a competitive basis, as well as those proposed for financing without competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets, also the SSTE conclusion, including an assessment of the economic feasibility on them, and determine the forms and amounts of funding allocated for scientific research, or reject funding with an indication of the amount of funding and send them to the HSTC.

**Footnote. Paragraph 22 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

23. Upon the NSC decisions, the HSTC shall approve (reject) targeted programs, proposed for implementation on a competitive basis, as well as those proposed for financing outside competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets.

After approval of the HSTC decision, the Government of the Republic of Kazakhstan shall consider the decision on financing targeted programs outside competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets.

**Footnote. Paragraph 23 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

24. The authorized body shall direct information to the sectorial authorized bodies on targeted programs approved by the HSTC, proposed for implementation on a competitive basis, as well as on targeted programs proposed for financing outside competitive procedures for conducting applied scientific research in the national security and defense, containing information constituting state secrets.

**Footnote. Paragraph 24 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

25. The funds of program and targeted financing shall be directed to expenses directly related to the conduct of scientific research on scientific and (or) scientific and technical programs approved by the decision of the NNS.

Expenses shall include:

1) remuneration - a system of relations related to the provision by the employer of mandatory payments to researchers and persons performing financial, economic and legal support, remuneration for their work in accordance with the Labor Code and other regulatory legal acts of the Republic of Kazakhstan, as well as agreements, labor, collective agreements and employer acts;

2) business trips - business trips related to the implementation of the scientific and (or) scientific and technical program;

3) other services and works - services of collective scientific laboratories, other laboratories, other organizations, business entities necessary for research, including organizational contributions for participation in conferences.

Other services and works, including the performance of research work (outsourcing), shall be provided with an indication of the performers of the work and decoding by types, volumes, expected results of the work.

4) purchase of materials - purchase of consumables for research;

5) purchase of equipment and/or software (for legal entities);

6) scientific and organizational support - expenses for the publication, patenting and purchase of analytical materials;

7) renting premises - expenses related to renting premises used for scientific research and scientific and organizational support under the program;

8) machinery and equipment rental - expenses related to the rental of machinery and equipment used in the implementation of scientific research under the program;

9) operating costs of machinery and equipment - expenses related to the use of machinery and equipment for research, including those related to their commissioning and maintenance;

10) taxes, contributions for mandatory social insurance and other mandatory payments to the budget.

If a decision is made by the NSC to terminate the financing of the implemented program, the authorized body and (or) industry authorized bodies terminate the contract for the fulfillment of the state order for program-targeted financing with the contractor.

At the same time, the authorized body or industry authorized bodies shall be allowed on the basis of the decision of the NSC to redistribute funds during the current year between programs within the framework of program-targeted financing of scientific and (or) scientific and technical activities.

26. Accredited subjects of scientific and (or) scientific and technical activities, as well as autonomous educational organizations and their organizations, including as co-executors, participate in the competition for program and targeted financing.

27. The competition documentation for program-targeted financing shall be developed and approved by the authorized body and (or) the industry authorized body and sent to the center of expertise within two working days.

28. The competition documentation and the announcement of the competition for program-targeted financing shall contain the following information:

1) the name of the authorized body or industry authorized body that announced the competition;

- 2) name of priority and specialized scientific areas;
- 3) requirements for the form and content of the application for participation in the competition for program-targeted financing of scientific, scientific and technical programs;
- 4) purpose of the competition for financing;
- 5) the scope and conditions of the contribution from the private partner;
- 6) the language in which the application for program-targeted funding shall be submitted;
- 7) types of research and amounts of funding recommended by the NSC and approved by the HSTC;
- 8) qualification requirements for the scientific supervisor and research group, as well as other qualification requirements that contribute to ensuring the effectiveness of programs;
- 9) a positive conclusion of the local and (or) central commission on bioethics;
- 10) data on the responsible persons of the authorized body or industry authorized body who announced the competition, who carry out clarifications on the competition documentation;
- 11) the final deadline for accepting applications must be at least 30 (thirty) and not more than 45 (forty-five) calendar days from the date of the competition announcement ;
- 12) name and reference to the information system of the expertise center for submitting an application;
- 13) scientific and technical assignment within the program-targeted financing, drawn up according to the form in Appendix 6 to these Rules;
- 14) project agreement for the fulfillment of the state order for program-targeted financing.

**Footnote. Paragraph 28 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

**29. Excluded by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

30. Applications for participation in program-targeted financing shall be submitted by accredited subjects of scientific and (or) scientific and technical activities, as well as by autonomous educational organizations and their organizations to the authorized body or industry authorized body that announced the competition.

The submitted applications shall be sent by the authorized body or the industry authorized body that announced the competition to the center of expertise for

conducting the SSTE and consideration by the relevant NSC within three working days after the expiration of the final deadline for accepting applications for the competition.

The list of applications considered by the NSC, with the exception of applications in the field of national security and defense, shall be subject to placement on the Internet resource of the center of expertise.

31. A participant applying for a targeted program of applied scientific research shall involve a private partner with partial provision of the programs with the necessary resources, including financial ones, with the exception of applied scientific research in the social sciences, humanities, national security and defense science.

Confirmation of the intention of the parties shall be an agreement on a deposit in an arbitrary form, indicating their implementation dates and the amount of the deposit.

In cases of refusal of a private partner from the intention of contribution during the implementation of the program or the absence of an equivalent replacement, by the decision of the NSC, the financing of the program may be discontinued.

When making a decision of the NSC to terminate the financing of the program, the authorized body and (or) industry authorized bodies terminate the agreement on the fulfillment of the state order for program-targeted financing with the contractor.

At the same time, authorized bodies or industry authorized bodies shall be allowed, on the basis of the decision of the NSC, to redistribute funds during the current year between programs within the framework of program-targeted financing of scientific and (or) scientific and technical activities.

**Footnote. Paragraph 31 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

32. The application for participation in the competition for program and targeted financing shall be drawn up in accordance with Annex 5 to these Rules.

33. The authorized body or the industry authorized body, which announced the competition for program-targeted financing, shall send applications for program-targeted financing to the center of expertise within three working days after the expiration of the final deadline for accepting applications for the competition.

34. The SSTE, as well as the assessment of the validity of the prices of the requested amounts, are carried out in accordance with the SSTE Rules.

35. Decisions of the NSC in the form of an extract from the NSC protocol shall be sent by the center of expertise to the authorized body and (or) the industry authorized body within five working days from the date of the decision.

36. The results of the competition for program-targeted financing are the decisions of the NSC and HSTC adopted for each application for program-targeted financing and approved by the authorized body or industry authorized body.

37. The results of the program financing competition shall be subject to placement on the Internet resources of the authorized body or industry authorized body that announced the competition, as well as the Internet resources of the expertise center.

38. The results of the competition for program-targeted financing, taking into account the justification of the decisions taken, reviewed by the NSC, information about the winners of the competition, SSTE points, NSC points on the evaluation list, taking into account the results of the NSC, as well as a list of names of unapproved applications within five working days from the date of their approval, shall be subject to placement on the Internet resource of the expertise center.

The voting records of the NSC members and video recordings of the NSC meetings shall be kept in the center of expertise in accordance with the procedure established by the Law.

39. The executors shall submit to the authorized body or sectoral authorized body interim reports on scientific and (or) scientific and technical activities (the first year of the programs execution (except for projects with execution term of 1 (one) year), the second year (with the exception of programs with execution term of 2 (two) years of) and final reports on scientific and (or) scientific and technical activities no later than November 1 of the current reporting year for programs with execution term of up to three years.

The executors shall submit to the authorized body or sectoral authorized body interim reports on scientific and (or) scientific and technical activities (the first year of the programs execution (except for projects with execution term of 1 (one) year), the second year (with the exception of programs with execution term of 2 (two) years), third year (except for programs with execution term of 3 (three) years), fourth year (except for programs with execution term of 4 (four) years) and final reports on scientific and (or) scientific and technical activities no later than November 1 of the current reporting year for projects with execution term of up to five years.

**Footnote. Paragraph 39 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

40. The authorized body or the industry authorized body shall send the received intermediate and final reports on scientific and (or) scientific and technical activities to the center of expertise within three working days after the completion of the acceptance of reports for organizing the SSTE, in accordance with the Rules of the SSTE, and subsequent submission for consideration to the relevant NSC.

The interim and final reports on scientific and (or) scientific and technical activities shall be accompanied by a form of reporting in accordance with the competition documentation approved by the authorized body or the industry authorized body that announced the competition.

41. The implementation of the scientific, scientific and technical program and financing for the current year, the termination of funding shall be carried out in accordance with the decision of the NSC, based on the results of monitoring the implementation of scientific, scientific and technical programs and their effectiveness submitted by the center of expertise.

Within thirty working days from the date of publication of the results of the competition for program and targeted financing, the winners of the competition for program and targeted financing shall conclude with the authorized body or industry authorized body or a legal entity determined by the Government of the Republic of Kazakhstan to finance scientific and (or) scientific and technical activities, and an agreement to fulfill the state order for program and targeted financing.

The winners of the competition for program-targeted financing may refuse to conclude an agreement on the fulfillment of the state order for program-targeted financing and the implementation of scientific research by sending an official notice in writing to the authorized body or industry authorized body that announced the competition, or by a legal entity determined by the Government of the Republic of Kazakhstan for financing scientific and (or) scientific and technical activities.

The winners of the competition for program and targeted financing after the conclusion of the contract shall submit budget applications to the authorized body or industry authorized body.

By expenses of other services and works, procurement of materials, acquisition of equipment and (or) software, scientific and organizational support, rental expenses, operating costs of machinery and equipment, three price offers or price lists shall be submitted as part of the budget request, with the exception of expenses where the supplier having exclusive or copyrights for this product, as well as being the only person selling goods and providing relevant works, services, may be a subject of natural monopoly.

Funds formed as a result of the refusal of the winners of the competition to conclude an agreement for the fulfillment of a state order for program-targeted financing and the implementation of scientific research may be distributed by an authorized body or industry authorized bodies on the basis of the decision of the NSC between applications for program-targeted financing located in a ranked list below the threshold line.

The funds of program-targeted financing shall be distributed by the program supervisor appointed by the applicant's decision to manage the scientific, scientific and technical program according to the application for program-targeted financing, taking into account the decision of the NSC.

In cases of savings and/or the balance of unused funds under the program, the program manager shall reallocate funds within one cost item or shall reallocate funds

between different cost items within the total amount approved for the calendar year. It shall not be allowed to increase the funding approved by the NSC when approving the project for business trips outside the Republic of Kazakhstan and scientific and organizational support.

The scientific supervisor shall make adjustments to the research methodology without changing the purpose, objectives and expected final results specified in the application and program-targeted funding agreement.

The executor shall submit to the authorized body or industry authorized body a report on the use of allocated funds for program and targeted financing (intermediate (in the first (except for programs with a period of 1 (one) year), second year (except for programs with a period of 2 (two) year of implementation of the program) until January 25 of the year following the reporting year, and the final year before December 10 of the current reporting year in the form according to Annex 4 to these Rules.

The executor shall ensure the reliability and validity of the reflected information in the report on the use of the allocated funds of program and targeted financing.

The applicant shall submit information on the programs (name, applicant, supervisor, implementation period, amount of funding, short abstract of the application, expected results and annotation of the results obtained by year, list of published publications with a full bibliographic description) to the examination center ten calendar days before the completion of the program implementation period.

After the completion of the entire period of implementation of scientific, scientific and technical programs, the center of expertise shall publish information on programs on its website (name, applicant, supervisor, implementation period, amount of funding, short abstract of the application, expected results and annotation of the results obtained by year, list of published publications with a full bibliographic description) within thirty calendar days, except for programs containing information about state secrets, and for official use.

#### **Chapter 4. Procedure for grant financing of scientific and (or) scientific and technical activities**

42. Grant financing shall be allocated for scientific research in order to upgrade scientific research, scientific and technical potential and competitiveness of scientific organizations and their teams, scientists, as well as commercialization of the results of scientific and (or) scientific and technical activities. From grant funding competitions for grant financing for young scientists can be announced.

**Footnote. Paragraph 42 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

43. Grant funding shall be provided free of charge and irrevocably from the state budget for the implementation of fundamental and applied scientific research.

44. By the date of February 1 of the year preceding the planned year, the industry authorized bodies shall send proposals to the authorized body on priority, specialized areas and the amount of grant financing in accordance with the priority directions for the development of science of the Republic of Kazakhstan determined by the HSTC, in accordance with Annex 3 to these Rules.

45. The authorized body shall send proposals of industry authorized bodies to the center of expertise within two working days from the date of the end of the deadline for submitting proposals.

46. Within two working days from the date of receipt of proposals for priority and specialized areas and grant funding amounts, the Center of Expertise shall send them to the NSC for examination to receive decisions on them.

The Center of Expertise shall send the decisions of the NSC to the authorized body before April 1 of the year preceding the planned one.

**Footnote. Paragraph 46 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

47. The authorized body, after receiving the decisions of the NSC on grant financing submitted by the center of expertise, shall send them to the HSTC for consideration within five working days.

48. Before May 1 of the year preceding the planned one, the HSTC shall adopt the appropriate decision in the procedure established by the Regulations on the HSTC.

Within fifteen working days, the authorized body shall send the decision of HSTC to the central authorized body for budget planning to submit the amounts of financing in accordance with the established procedure for consideration by RBC.

After the decision of the HSTC on the priority areas of development of science and the amount of grant financing, broken down by priority areas and consideration by RBC, the authorized body and industry authorized bodies, prior to the planned year by September 1, shall develop, approve the competition documentation and announce a competition for grant financing, within the funds approved by the decision of RBC.

In the event of a reduction in RBC's funding volumes, budget program administrators shall distribute the amounts of funds approved by RBC in priority areas.

**Footnote. Paragraph 48 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

49. Grant financing shall be provided by the authorized body or industry authorized body that announced the competition, or by legal entities determined by the Government of the Republic of Kazakhstan.



50. Grant financing shall be carried out on a competitive basis within the funds provided for in the state budget.

The grantor shall submit to the authorized body or the industry authorized body a report on the use of the allocated funds for grant financing ((interim) (first year (excluding projects with a 1-year implementation period) (one year), second year of projects implementation (excluding projects with 2 years of implementation (two years )) until January 25 of the year following the reporting year and the final year before December 10 of the current reporting year in accordance with Annex 4 of these Rules.

The grantor shall ensure the accuracy and validity of the information reflected in the report on the use of the allocated grant financing funds.

51. Grant financing funds shall be directed to expenses directly related to scientific research on scientific and (or) scientific and technical projects approved by the decision of the NSC.

Expenses shall include:

1) remuneration - a system of relations related to the provision by the employer of mandatory payments to researchers and persons who carry out financial, economic and legal support of remuneration for their work in accordance with the Labor Code and other regulatory legal acts of the Republic of Kazakhstan, as well as agreements, labor, collective agreements and employer acts;

2) business trips - business trips related to the implementation of a scientific and (or) scientific and technical project;

3) other services and works - services of collective scientific laboratories, other laboratories, other organizations, business entities necessary for the implementation of research, including organizational contributions for participation in conferences, seminars, symposia.

Other services and works, including the performance of research work (outsourcing ), shall be provided with an indication of the performers of the work and decoding by types, volumes, expected results of the work.

4) purchase of materials - purchase of consumables for research;

5) purchase of equipment and/or software (for legal entities);

6) scientific and organizational support - expenses for the publication, patenting and purchase of analytical materials;

7) renting premises - expenses related to renting premises used for scientific research and scientific and organizational support under the project;

8) rental of machinery and equipment - expenses related to the lease of machinery and equipment used in the implementation of scientific research under the project;

9) operating expenses of machinery and equipment - expenses related to the use of machinery and equipment for research, including their commissioning and maintenance;

10) taxes, contributions for mandatory social insurance and other mandatory payments to the budget.

If a decision is made by the NSC to terminate the financing of the project being implemented, the authorized body and (or) industry authorized bodies terminate the contract with the grantee.

At the same time, the authorized body or industry authorized bodies shall be allowed on the basis of the decision of the NSC to redistribute funds during the current year between projects within the framework of grant financing of scientific and (or) scientific and technical activities.

52. Accredited subjects of scientific and (or) scientific and technical activities, as well as autonomous educational organizations and their organizations on equal terms, participate in the competition for grant financing.

53. The competition documentation for grant financing shall be developed and approved by the authorized body and (or) the industry authorized body, sent to the center of expertise within two working days.

54. The competition documentation and the announcement of the competition for grant financing shall contain the following information:

1) the name of the authorized body or industry authorized body that announced the competition;

2) name of priority and specialized scientific areas;

3) requirements for the form and content of the application for participation in the competition for grant financing of scientific, scientific and technical projects;

4) the purpose of the competition for grant financing;

5) the scope and conditions of the contribution from the private partner;

6) the language in which the application for grant funding shall be submitted;

7) types of research and amounts of funding recommended by the NSC and approved by the HSTC;

8) qualification requirements for the scientific supervisor and research group, as well as other qualification requirements that shall contribute to ensuring the effectiveness of grant financing projects;

9) a positive conclusion of the local and (or) central commission on bioethics;

10) data on the responsible persons of the authorized body or industry authorized body who announced the competition, who shall carry out clarifications on the competition documentation;

11) the final deadline for accepting applications must be at least 30 (thirty) and not more than 45 (forty-five) calendar days from the date of the competition announcement

;

12) name and reference to the information system of the expertise center for submitting an application;

13) requirements for expected results for scientific, scientific and technical projects

;

14) project agreement for the fulfillment of the state order for grant financing.

**Footnote. Paragraph 54 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

55. A participant seeking an applied research grant shall involve a private partner with partial provision of the project with the necessary resources, financial including, with the exception of applied research in social sciences, humanities, national security and defense science.

Confirmation of the intention of the parties shall be an agreement on a contribution in an arbitrary form, indicating their timing of implementation and the amount of the contribution or necessary resources.

In cases of refusal of the private partner from the intention of contribution during the implementation of the project or the absence of an equivalent replacement, by the decision of the NSC, the project financing may be terminated.

When the NSC shall decide to terminate the financing of the project, the authorized body and (or) industry authorized bodies shall terminate the contract for the fulfillment of the state order for grant financing with the grantee.

At the same time, the authorized body or industry authorized bodies shall be allowed on the basis of the decision of the NSC to redistribute funds during the current year between projects within the framework of grant financing of scientific and (or) scientific and technical activities.

**Footnote. Paragraph 55 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

56. The competition for grant financing shall be announced by the authorized body or industry authorized body, the announcement is to be placed on the Internet resource of the authorized body or industry authorized body that announced the competition, as well as the Internet resource of the expertise center.

57. The application for participation in the competition for grant financing shall be drawn up in the form in accordance with Annex 5 to these Rules.

Applications for participation in grant financing shall be submitted by accredited subjects of scientific and (or) scientific and technical activities, as well as by autonomous educational organizations and their organizations to the authorized body or industry authorized body that announced the competition.

58. The authorized body or the industry authorized body that announced the competition shall send applications for grant financing to the examination center within

three working days after the final deadline for accepting applications for the competition expires.

59. SSTE, as well as assessment of the validity of the requested amounts, shall be carried out in accordance with the SSTE Rules.

60. The list of applications considered by the NSC, with the exception of applications in the field of national security and defense, shall be subject to placement on the Internet resource of the center of expertise.

Decisions of the NSC in the form of an extract from the NSC protocol shall be sent by the center of expertise to the authorized body and (or) the industry authorized body within five working days from the date of the decision.

61. The result of the competition for grant funding shall be the decisions of the NSC adopted for each application for grant funding and approved by the authorized body or industry authorized body.

62. The results of the competition for grant financing shall be subject to placement on the Internet resources of the authorized body or industry authorized body that announced the competition, as well as the Internet resources of the expertise center.

63. The results of the competition for grant financing, taking into account the justification of the decisions taken, reviewed by the NSC, information about the winners of the competition, the SSTE points, the NSC points on the assessment list, taking into account the results of the NSC, as well as the list of names of disapproved applications within five working days from the date of their approval shall be subject to placement on the Internet resource of the center of expertise.

The voting records of the NSC members and video recordings of the NSC meetings shall be kept in the center of expertise in accordance with the procedure established by the Law.

64. The winners of the competition for grant financing within thirty working days from the date of publication of the results of the competition for grant financing shall conclude an agreement with the authorized body or industry authorized body or a legal entity determined by the Government of the Republic of Kazakhstan.

The winners of the grant financing competition may refuse to conclude an agreement on the fulfillment of the state order for grant financing and the implementation of scientific research by sending an official notice in writing to the authorized body or industry authorized body that announced the competition, or to legal entities determined by the Government of the Republic of Kazakhstan.

The winners of the competition for grant financing after the conclusion of the agreement shall submit budget applications to the authorized body or industry authorized body.

By expenses of other services and works, procurement of materials, acquisition of equipment and (or) software, scientific and organizational support, rental expenses,

operating expenses of machinery and equipment, three price offers or price lists shall be submitted as part of the budget request, with the exception of expenses where the supplier having exclusive or copyrights for this product, as well as being the only person selling goods and providing relevant works, services, may be a subject of natural monopoly.

Funds formed as a result of the refusal of the winners of the competition to conclude an agreement for the fulfillment of a state order for grant financing and the implementation of scientific research may be distributed by an authorized body or industry authorized bodies on the basis of the decision of the NSC between applications for grant financing located in a ranked list below the threshold line.

During the execution of the budget, the savings in grant financing funds resulting from the competition may be distributed by the relevant administrators of budget programs to other contests within the scope approved by HSTC. The funds shall be distributed based on the decision of the NSC among the applications for grant funding located in the ranked list below the threshold line.

65. Grant financing funds shall be distributed by the project supervisor appointed by the applicant to direct the scientific, scientific and technical project, according to the application for grant financing, taking into account the decision of the NSC.

In cases of savings and/or the balance of unused project funds, the project manager shall reallocate the funds within one expense item or shall reallocate the funds between different expense items within the total amount approved for the calendar year. It shall not be allowed to increase the funding approved by the NSC when approving the project for business trips outside the Republic of Kazakhstan and scientific and organizational support.

The scientific supervisor shall make adjustments to the research methodology without changing the purpose, objectives and expected final results specified in the application and grant financing agreement.

66. Under agreements, the implementation of which shall be transferred to the next calendar year, grantors shall submit to the center of expertise brief information on the implementation of the project in accordance with the calendar plan through the information system of the center of expertise no later than November 15 of the current reporting year.

Grantor shall submit final reports on scientific and (or) scientific and technical activities (upon completion of the project) to the authorized body or industry authorized body no later than November 1 of the current reporting year.

67. The authorized body or the industry authorized body that announced the competition shall send the received final reports on scientific and (or) scientific and technical activities (upon completion of the project) to the examination center within three working days after the completion of the reception.

The center of expertise, according to the Rules of SSTE, shall organize the work on conducting SSTE final reports on scientific and (or) scientific and technical activities.

The received brief information on the implementation of the project and the final reports on scientific and (or) scientific and technical activities shall be sent by the center of expertise for consideration of the relevant NSC within three working days.

68. The implementation of the scientific, scientific and technical project and financing for the current year, the termination of funding shall be carried out in accordance with the decision of the NSC, based on the results of monitoring the implementation of scientific, scientific and technical projects and their effectiveness, submitted by the center of expertise.

The applicant shall submit information on the project (name, applicant, supervisor, implementation period, amount of funding, short abstract of the application, expected results and annotation of the results obtained by year, list of published publications with a full bibliographic description) to the examination center ten calendar days before the completion of the project implementation period.

After the completion of the entire period of implementation of scientific, scientific and technical projects, the center of expertise shall publish information on projects on its website (name, applicant, supervisor, implementation period, amount of funding, short abstract of the application, expected results and annotation of the results obtained by year, list of published publications with a full bibliographic description) within thirty calendar days, except for projects containing information about state secrets, and for official use.

## **Chapter 5. Procedure for grant financing of projects for commercialization of the results of scientific and (or) scientific and technical activities**

69. The Government of the Republic of Kazakhstan to organize the procedure for financing commercialization projects of the RSSTA shall determine the legal entity financing projects for commercialization of the results of scientific and (or) scientific and technical activities (hereinafter referred to as the legal entity).

70. Grant financing of RSSTA commercialization projects shall be carried out on a competitive basis within the funds provided for in the state budget.

71. A legal entity shall organize and conduct a competition to determine the most promising projects for the commercialization of scientific and (or) scientific and technical activities for grant financing.

72. The presence of co-financing of at least 10% of the total project cost shall be a mandatory requirement for participation in the competition.

73. Competition documentation shall be developed and approved by a legal entity in agreement with the authorized body. The competition documentation shall contain the following information:

1) name of priority sectors of the economy within which financing shall be provided;

2) the purpose of the competition for grant financing of commercialization projects of the RSSTA;

3) project implementation plan;

4) the form of submission of the competition application approved by the legal entity;

5) the permissible amount of funding for one project;

6) conditions for co-financing from extra budgetary funds;

7) the name of the legal entity that announced the competition;

8) the amount of financing.

74. The competition for grant financing of commercialization projects of the RSSTA shall be announced by a legal entity and the announcement is to be placed on the Internet resource of an authorized body or industry authorized body, an expertise center, as well as a legal entity.

75. The announcement of the competition shall contain the following information:

1) name of the competition;

2) a link to the official Internet resource of the authorized body and (or) industry authorized body, legal entity, where the competition documentation shall be posted;

3) deadlines for the start and completion of applications;

4) place and/or method of acceptance of applications;

5) contact details of the representative of the legal entity of the competition, which shall provide clarification of the competition documentation and advice on the preparation of the competition application.

76. The final deadline for accepting applications must be at least 30 and not more than 45 calendar days from the date of the competition announcement.

77. The center of expertise shall accept applications that shall be subject to registration and consideration for compliance with the competition documentation.

78. Applications that shall not comply with the competition documentation shall be subject to rejection by the center of expertise within 7 (seven) working days from the date of completion of acceptance of applications, while the applicant is sent a notification to the email address indicated in the application indicating the identified non-conformities.

79. Examination of applications shall be carried out by the center of expertise in accordance with the Rules of the SSTE.

80. Within 3 working days after the completion of the examination of applications, the center of expertise shall send a ranked list of applications, summary conclusions of expertise and materials of applications to the NSC to make a decision on financing or refusal to finance the commercialization project of the RSSTA.

81. The NSC shall consider applications in accordance with the Regulation on National scientific councils, approved by the Resolution of the Government of the Republic of Kazakhstan dated May 16, 2011 №519.

82. An extract from the minutes of the NSC meetings with a list of projects approved for financing and rejected is submitted by the center of expertise to a legal entity within five working days from the date of the decision.

83. The results of the competition for grant financing of commercialization projects of the RSSTA shall be subject to placement on the Internet resources of the legal entity that announced the competition, as well as the center of expertise.

84. The legal entity shall enter into a grant financing agreement with the grantor for commercialization projects of the RSSTA on the grant financing of the commercialization project of the RSSTA within a period of not more than 20 (twenty) working days from the date of receipt from the center of expertise of the list of winners of the competition. Attached to the agreement shall be a schedule and cost estimate adjusted in accordance with the allocated amount of funds and recommendations of the NSC (if any).

85. A contract with a grantee for RSSTA commercialization projects shall be concluded for the entire duration of the project, but not more than 5 (five) years.

**Footnote. Paragraph 85 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

86. Financing shall be carried out by a legal entity in stages on the basis of a concluded grant financing agreement.

87. The RSSTA commercialization project grantor shall reallocate grant funds between approved expense items (excluding remuneration of labour) for a maximum of ten (10) percent of the total project cost estimate for each phase, as required, without the approval of a legal entity.

88. The RSSTA commercialization project grantors shall submit interim reports for each phase, as well as the final report upon completion of the project, including the financial statement of the use of grant financing funds, to the legal entity within the time frame established by the agreement.

89. The legal entity shall analyze the targeted use of the allocated funds, as well as activities to promote and implement commercialization projects of the RSSTA in order to achieve the expected results.

The center of expertise monitors the implementation of the RSSTA commercialization projects at the stages of their implementation and completion, and shall send its results to the NSC.



90. The RSSTA commercialization project grantee shall receive a tranche the following year after a positive conclusion of the NSC on the interim report of the reporting year.

**Footnote. Paragraph 90 as amended by Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

91. The decision to terminate grant financing shall be made by the NSC, including based on the results of monitoring presented by the center of expertise.

92. The recipient of the RSSTA commercialization projects, who used a grant in violation of the terms of the contract for grant financing of the RSSTA commercialization projects, shall be obliged to fully return grant funds.

93. The NSC shall decide to approve or disapprove of the final project reports.

#### **Chapter 6. Financing procedure for scientific organizations engaged in fundamental scientific research**

**Footnote. The Rules shall be supplemented by Chapter 6 pursuant to Resolution No . 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

94. Financing of state scientific organizations and scientific organizations with 100% participation of the state, included in the list of scientific organizations engaged in fundamental research approved by the authorized body, shall be allocated for fundamental scientific research in archeology, astronomy, astrophysics, atomic energy, oriental studies, art, history, culture, literature, mathematics and mechanics, education, political science, religious studies, sociology, philosophy, ethnology, linguistics.

95. Financing of scientific organizations included in the list shall comprise expenses, in accordance with the rates of financing scientific organizations engaged in fundamental scientific research, for the current maintenance of scientific infrastructure and property, including buildings, equipment and materials, wages, and fundamental scientific research for a term not exceeding five years.

96. Funds for the fundamental scientific research shall be allocated for expenses directly related to the conduct of fundamental scientific research.

97. The financing rates of scientific organizations carrying out fundamental scientific research shall be approved by the Government of the Republic of Kazakhstan in accordance with subparagraph 14-1) of Article 3 of the Law.

98. State scientific organizations and scientific organizations with 100% participation of the state shall send to the authorized body, by February 1 of the year preceding the planned one, applications coordinated with sectoral authorized bodies for

inclusion in the list and applications for financing fundamental scientific research through the information system of the center of expertise in accordance with the form of appendices 7 and 8 to these Rules.

99. Applications shall be checked by the authorized body within 3 (three) business days from the date of their receipt for compliance with the requirements of paragraph 1 of Article 27-1 of the Law, including:

1) compliance of the applicant with the status of a state scientific organization or a scientific organization with 100% participation of the state;

2) compliance of the application with fundamental scientific research in archeology, astronomy, astrophysics, atomic energy, oriental studies, art, history, culture, literature, mathematics and mechanics, education, political science, religious studies, sociology, philosophy, ethnology, linguistics;

3) experience in implementing the state order for fundamental scientific research over the last 3 (three) years as an executor.

100. The authorized body, within 2 (two) working days after completion of the verification, shall send applications for funding fundamental scientific research that meet the requirements of paragraph 99 of these Rules to the center of expertise for conducting the SSTE.

In case of non-compliance of applications with the requirements referred to in paragraph 99 of these Rules, the authorized body within 2 (two) business days shall send them for revision, indicating all the objections.

101. The SSTE, as well as assessment of feasibility of the requested amounts shall be carried out in accordance with the Rules of the SSTE within 10 (ten) working days.

102. Applications for financing of fundamental scientific research shall be sent to an expert to assess the feasibility of the requested funding amount, together with the SSTE results, within 1 (one) working day after the SSTE completion.

103. The conclusion on the evaluation of feasibility of the funding amount requested in the application, together with the SSTE conclusion, shall be directed to the respective NSCs within 1 (one) business day.

104. NSCs shall consider applications in accordance with the Regulations on National Scientific Councils, approved by Resolution No. 519 of the Government of the Republic of Kazakhstan dated May 16, 2011.

105. Decisions of the NSC in the form of an extract from the NSC minutes shall be sent by the examination center no later than 2 (two) business days from the date of the decision to the authorized body.

106. State scientific organizations and scientific organizations with 100% participation of the state, whose applications are approved by the NSC decision, shall submit to the authorized body or sectoral authorized body the budget applications for the funding amount indicated by the scientific organization in the application for

entering on the list and the application for financing fundamental scientific research, within 10 (ten) working days from the date of the NSC decision.

The budget request for funding amounts shall be composed and submitted as prescribed by the Rules for drafting and submitting budget requests, approved by the order of the Minister of Finance of the Republic of Kazakhstan dated November 24, 2014 No. 511.

107. The authorized body, within 2 (two) working days from the date of receipt of applications approved by the NSC decision, shall send them for consideration by the HSTC.

108. By May 1 of the year preceding the planned year the HSTC shall decide on the approval or rejection of applications for funding of fundamental scientific research in the manner prescribed by the Regulations on HSTC.

109. On the basis of the HSTC positive decision on financing fundamental scientific research, the authorized body shall approve the list of scientific organizations engaged in fundamental scientific research, in accordance with Article 27-1 of the Law

110. Within 15 (fifteen) working days the authorized body shall send the HSTC decision to the central budget planning authority to determine the funding amounts in the prescribed manner for consideration by the RBC.

111. In the event of RBC's reduction of funding amount, the authorized body shall distribute among the scientific organizations included in the list the amounts of funds approved by the RBC.

112. The authorized body or sectorial authorized body shall finance scientific organizations entered on the list within the approved budget for the corresponding financial year.

113. Scientific organizations entered on the list, within 30 (thirty) business days from the date of the RBC decision, shall conclude a contract with the authorized body or sectorial authorized body for the implementation of the state order for fundamental scientific research.

114. A report on the use of the allocated funds shall be presented by scientific organizations to the authorized body or the sectorial authorized body by December 31 of the reporting year in accordance with Appendix 9 to these Rules.

Scientific organizations shall ensure accuracy and validity of the information reflected in the report on the use of allocated funds.

115. Scientific organizations entered on the list shall provide annual reports to the NSC no later than November 1 of the current reporting year.

116. The NSC shall examine the annual reports of scientific organizations, as well as the results of monitoring the scientific research progress and its efficacy.

117. A scientific organization entered on the list must provide information on fundamental scientific research (name, applicant, supervisor, execution term, funding amount, a brief abstract of the application, expected results and annotation of the results obtained by years, a list of publications with a full bibliographic description) to the center of expertise 10 (ten) calendar days before the end of the fundamental research execution term.

118. After completion of the fundamental scientific research provided for by the contract for the execution of the state order for the fundamental scientific research, the center of expertise shall publish information on its website on fundamental scientific research (name, executor, supervisor, implementation term, funding amount, brief information, results achieved and annotation of the results obtained by years, a list of publications with a full bibliographic description) within 30 (thirty) calendar days, except for fundamental scientific research containing information about state secrets and for official use.

Appendix 1  
to the Rules for base and program-  
targeted financing of scientific and  
(or) scientific and technical  
activities, grant financing of  
scientific and (or) scientific and  
technical activities and  
commercialization of the results of  
scientific and (or) scientific and  
technical activities, financing of  
scientific organizations engaged in  
fundamental scientific research

Footnote. Upper right corner of Appendix 1 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

Form

## REPORT ON THE USE OF ALLOCATED FUNDS FOR BASIC FINANCING

№ r/n	Product costs	Estimated amount	Actual spent amount	The savings (if any)	Unite of measurement	
					Confirming documents (if any)	Note
1	2	3	4	5	6	7
1	Salary (including accruals of all taxes and other mandatory payments to the budget).	Amount specified in the budget requisition	Actual spent amount	Gr.3-Gr.4		

2	Bonus based on savings (including accruals of all taxes and other mandatory payments to the budget).		Actual spent amount	Gr.4		
3	Public utilities	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
4	Communication services	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
5	Transport rental	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
6	Mandatory insurance contributions	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
7	Purchase of goods related to fixed assets, purchase of consumables, other goods, other running costs, security costs, security alarms	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
8	Current repair of the building, equipment.	Amount specified in the budget requisition	Actual spent amount	Gr.3- Gr.4		
9	Expenses for information support of scientific and technical activities	Amount specified in the budget requisition	Actual spent amount	Gr.3-Gr.4		
	TOTAL	Total	Total	Total		

Note:

- 1) it shall be allowed to add signatories responsible for planning and execution of basic financing;
- 2) attachment of a copy of the confirming documents (agreements, certificates of completion

works, invoices, payment orders, etc.) shall not be required;

3) for the reliability of the submitted information, the subject of basic financing shall be liable in accordance with the procedure established by the legislation.

Head

of the subject of the basic financing \_\_\_\_\_

(signature) Full name (if any)

Head accountant \_\_\_\_\_

(signature) Full name (if any)

\_\_\_\_\_ " \_\_\_\_ " \_\_\_\_ 20

Appendix 2  
to the Rules for base and program-  
targeted financing of scientific and  
(or) scientific and technical  
activities, grant financing of  
scientific and (or) scientific and  
technical activities and  
commercialization of the results of  
scientific and (or) scientific and  
technical activities, financing of  
scientific organizations engaged in  
fundamental scientific research

**Footnote. Upper right corner of Appendix 2 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

Form

**Summary report of industry authorized bodies on the use of funds for basic financing of subjects of scientific and (or) scientific and technical activities**

No r/n	Name	Plan for the reporting year (KZT, in thousands)	Fact for the reporting year (KZT, in thousands)	Development, %
	Total:			
	including by organization:			
1				
2				
3				
...				

Head of \_\_\_\_\_

(signature) Full name (if any)

Head accountant \_\_\_\_\_

(signature) Full name (if any)

Appendix 3  
to the Rules for base and program-

targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research

**Footnote. Upper right corner of Appendix 3 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

Form

**Proposals of priority areas and volumes of grant financing**

Name of industry authorized bodies that prepared proposals: \_\_\_\_\_

№ r/n	Priority of science development <sup>1</sup> / specialized scientific direction	Feasibility	Grant-based financing (KZT, in thousands)			
			20__	20__	20__	Total
1.	Priority of science development <sup>1</sup> _____					
1.1.	Specialized direction 1	Not more than 200 words, feasibility of the significance of the direction and relevance of its research at the expense of the state budget with reference to the relevant strategic and program documents of the Republic of Kazakhstan				
1.2.	Specialized direction 2					
...	...					
Total priority of science development 1						

2.	Priority of science development 2					
2.1.	Specialized direction 2					
...	...					

Position, full name (if any) and signature of the head of the authorized body or industry authorized body making proposals.

<sup>1</sup> In accordance with priorities approved by HSTC for the relevant period

Appendix 4  
to the Rules for base and program-  
targeted financing of scientific and  
(or) scientific and technical  
activities, grant financing of  
scientific and (or) scientific and  
technical activities and  
commercialization of the results of  
scientific and (or) scientific and  
technical activities, financing of  
scientific organizations engaged in  
fundamental scientific research

**Footnote. Upper right corner of Appendix 4 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

Form

**REPORT ON THE USE OF ALLOCATED FUNDS UNDER GRANT/  
PROGRAM-TARGETED FINANCING**

Name of the executor: \_\_\_\_\_

Name of the project/program: \_\_\_\_\_

Agreement number: \_\_\_\_\_

№ r/n	Name of the cost item	Estimated amount	Actual spent amount	Cost savings	Confirmation documents	Note
1	2	3	4	5	6	7
1	Compensation					
2	Business trips					
3	Other services and works					
4	Acquisition of materials					



5	Purchase of hardware and/or software (for legal entities)					
6	Scientific and organizational support					
7	Rental of premises					
8	Equipment and machinery rental					
9	Operating expenses of equipment and machinery					
10	Taxes and other mandatory payments to the budget					
	TOTAL	Total	Total	Total		

Note:

- 1) the report for each project and program shall be filled in separately;
- 2) the contractor shall be responsible for the accuracy of the submitted information in procedure established by law.

Head of organization \_\_\_\_\_  
 (signature) Full name (if any)

Head of scientific project \_\_\_\_\_  
 (signature) Full name (if any)

Accountant-economist \_\_\_\_\_  
 (signature) Full name (if any)

Appendix 5  
 to the Rules for base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research

Footnote. Upper right corner of Appendix 5 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

Form

**Application for participation in the competition for grant financing of scientific and (or) scientific and technical projects**

The application shall consist of the following parts:

- 1) abstract
- 2) explanatory note;
- 3) calculation of finance requested

1. Abstract

The abstract shall contain a brief description of the purpose of the project, the problems to which it shall be aimed, the main approaches to conducting research, the expected results, the degree of impact of research results on scientific and technical (including personnel) potential and competitiveness of scientific organizations and their collectives, scientists, practical significance of research results, that shall be, the degree of their readiness for commercialization or use in another capacity to solve urgent problems of socio-economic and scientific and technical development of the Republic of Kazakhstan.

The abstract volume must not exceed 600 words.

2. Explanatory Note

The content of the explanatory note shall include the following sections (at the same time, tables, diagrams, diagrams, which shall be referenced in the application form, shall be submitted to the Annex to the explanatory note and shall not be taken into account when calculating the number of words in the corresponding sections and the total number of pages of the application):

1. General information

1.1. Name of the project topic [not more than 20 words].

1.2. Name of the priority direction for the development of science in which the application shall be submitted.

1.3. Name of the specialized scientific direction in which the application shall be submitted, type of research.

1.4. Estimated project start and end date, duration in months.

1.5. The requested amount of grant financing (for the entire period of the project implementation and by years, KZT, in thousands).

1.6. Keywords characterizing the industry and sending an application for selection of experts.

2. Overall project concept [no more than 550 words]

### 2.1. Introduction [no more than 100 words]

A brief description of the idea of the project, the problem to which it is aimed, is indicated.

### 2.2. Project objective [no more than 50 words]

The objective shall be concise and specific, should be consistent with the project theme, shall be achievable and reflect the nature of the decision expected to result from the project. The content of the goal should reflect the main question that is supposed to be answered as a result of the studies.

### 2.3. Project objectives [maximum 400 words]

This section shall describe how to achieve a project goal through logically interrelated, sequential tasks. The list of assigned tasks shall be given:

- 1) with measurable indicators of solving the problem;
- 2) with a brief feasibility of the role of each of the objectives in achieving the goal of the project and the relationship with other objectives and the expected results of the project;
- 3) with other important, in the applicant's opinion, parameters.

### 3. Scientific novelty and significance of the project [not more than 1,500 words]

The section shall contain the following information:

- 1) prerequisites for the development of the project, (if any, indicate preliminary results and (or) previously obtained by the applicant results related to the topic of the project);
- 2) feasibility of the scientific novelty of the project with a mandatory review of previous scientific studies conducted in the world and the Republic of Kazakhstan related to the investigating topic, the existing lack of knowledge, and their relationship with the present project (in the context, references should be made to the literature used in the review, a complete decoding of which should be presented in Section 8 "Bibliography"), comparison of the expected results of the project with known available analogues;
- 3) scientific and technological needs justifying the importance of the project results (if any, include social demand and (or) economic and industrial interest, other supporting data), the significance of the project on a national and international scale, the applicability of its results for the development of the relevant sphere of economy, science and (or) public relations;
- 4) the impact of the project on the level of research, scientific and technical potential, the competitiveness of scientific organizations and their teams, the expected social and economic effect of the project results, the conditions necessary to achieve the expected effect.

When describing this section, pay attention to the description of the following items:

1) fundamental differences between the idea of the project and existing analogues (if the idea or result of the study already exists in the world and (or) in Kazakhstan, it shall be necessary to justify what the advantages of the project are and why it should be financed);

2) if the end result of the project is a product, it is necessary to describe the current state of the art in the subject area of the project in comparison with the product proposed within the project;

3) if the project is a continuation of the scientific studies previously conducted by the applicant, it is necessary to clearly and succinctly state the relationship of the project with the previously conducted scientific studies and its differences from them.

#### 4. Research methods and ethical questions [not more than 1,500 words]

The section shall include the following information:

1) description of the main scientific issues and hypotheses of the project, justification of the research strategy and approaches, the types of research used in the project (descriptive, correlation and/or experimental), the sequence of research;

2) a brief description of the most important experiments;

3) description of research methods used in the project as a justification for the methods of achieving the set goals, their relationship with the purpose and objectives of the project, among themselves;

4) methods of collecting primary (initial) information, its sources and application for solving project tasks, methods of data processing, as well as ensuring their reliability and reproducibility;

5) the conditions for registration and division of intellectual property rights into the results of the study (it is necessary to indicate which method of intellectual property protection will be chosen, justify the choice).

#### 5. Research group and project management

The composition of the research group shall be drawn up in accordance with Table 1. Specify details of at least 70% (seventy percent) of the planned staff (main staff of the research group). For additional personnel (up to 30% of the research group members who shall be involved in the event of a grant), the table shall indicate their position and role in the project, the nature of the work performed and the approaches that shall be applied to their selection.

For the project supervisor, all publications confirming its compliance with the requirements of the competition documentation should be indicated, including with the citation index, quartile (percentile) of the publication and links to information about publications in the relevant scientometric databases (DOI).

Information on publications of the main personnel of the research group on the project direction (at least 10 publications of the members of the research group in total) with a citation index and links to information on publications in the relevant

scientometric bases should be provided. The names of the members of the research group should be underlined.

6. Research environment [maximum 750 words]

The section shall include the following information:

1) description of the material and technical base available to the applicant (equipment, devices, inventory, transport, buildings, structures and others) directly used for the implementation of the project, indicating the direction of its use and members of the research group who shall have skills to work with research equipment;

2) key domestic and international relations (collaborators and private partners) used to implement the project, indicating the nature and justification of their use (Use of infrastructure of other domestic and foreign organizations (laboratories) with justification);

3) involvement of third-party organizations in the project implementation with justification of the need to involve each organization, description of its role in the project, nature of the work performed, contribution to the goal achievement and expected results;

4) justification of mobility: scientific trips and their impact on the implementation of the project, periods of work on the basis of partner organizations and their impact on the implementation of the project. For each foreign business trip, the purpose, the expected result of the business trip and the contribution of the executor to the achievement of the project goal shall be briefly indicated.

7. Justification of requested financing [not more than 1,500 words]

The section shall include the following information:

1. Summary calculation for the project (budget) according to table 2. The budget of the project shall be distributed by the research supervisor of the project according to the plan of works and can't be directed to other items of expenditure which shall not be connected with this project.

The expenses which shall be subject to payment as a reward for work to members of research group of the project including post-doctoral candidates, students of doctoral studies, a magistracy and bachelor degree and also persons who shall be carrying out financial and economic and legal maintenance taking into account individual income tax and an mandatory pension contribution according to table 3 shall be specified in Article "Compensation (including taxes and other mandatory payments in the budget)". In calculation the payment of a vacation pay, except payments of the compensatory and stimulating character shall also be considered. Expenses on payment of social tax, social insurance and other mandatory payments in the budget shall also be specified in Article.

All expenses connected with business trips in limits and out of the borders of the Republic of Kazakhstan directly connected with carrying out researches including

participation in conferences, seminars, symposiums, departures for use of infrastructure of other organizations according to table 4 (under tickets shall be specified in Article "Official journeys" (a car, railway, air tickets) to attach price offers from the websites of the serviced companies, the project of the plan of business trips). When filling this table it shall be necessary to be guided by Rules about official business trips within the Republic of Kazakhstan of employees of the public institutions which shall be contained at the expense of means of the government budget, approved by the Resolution of the Government of the Republic of Kazakhstan dated September 22, 2000 No. 1428 and the Resolution of the Government of the Republic of Kazakhstan dated May 11, 2008 No. 256 "On approval of Rules of reimbursement of expenses for official business trip at the expense of budgetary funds including to the foreign states".

Expenses on the services acquired by the performer from subjects of business which result shall be necessary for achievement of the goal of the project, including (1) service of scientific laboratories of collective use and other laboratories, (2) services of the organizations of collaborators, (3) arrangement fees for participation in conferences, seminars, symposiums, (4) on patenting of the scientific results received as a result of the project, (5) publication of results of researches, (6) acquisition of analytical materials according to table 5 (on the acquired goods, works, services to attach not less than 1 (one) price offer and (or) the price list) shall be specified in Article "Scientific and organizational maintenance, other services and works". In case the foreign scientists and the staff of other organizations participating in implementation of the project are members of research group, expenses on their participation shall be reflected in the section "Compensation".

All costs of the materials and expenses on acquisition of the equipment and the software necessary for achievement of the goal of the project, including chemical reactants, solvents, standard samples, account laboratory materials, spare parts for the research equipment, fuels and lubricants and others shall be specified in Article "Acquisition of materials (for individuals and legal entities), acquisition of the equipment and (or) the software (for legal entities)" according to table 6 (on the acquired goods, works, services to attach not less than 1 (one) price offer and (or) the price list). At the same time acquisition of the equipment and the software shall not be allowed to individuals.

Expenses on rent of the rooms, the machinery and equipment necessary for achievement of the goal of the project, in the absence of the respective rooms at the applicant and also expenses on the utilities connected with implementation of the project and on service of the rooms, the machinery and equipment which shall be directly involved in carrying out researches according to table 7 (on the acquired goods

, works, services to attach not less than 1 (one) price offer and (or) the price list) shall be specified in Article "Expenses on rent, operating expenses of the machinery and equipment, used for realization of researches".

2. Calculations to each item of expenses according to tables 3-7

3. Short explanations to maintenance and calculation of size of each item of expenses with mandatory justification of their need for achievement of the goal, tasks and the expected results of the project and also the indication of sources of information on the prices on the basis of which the corresponding item of expenses shall be calculated.

Total amount of all items of expense shall represent the required amount for financing and shall have to be equivalent to the amount stated in Paragraph 1.5. of the section "General information".

8. Plan of implementation of the project

The section shall include the detailed, consecutive plan of works on the project according to table 8.

9. The expected results [no more than 750 words]

The section shall describe the main result of the studies, that is, the result corresponding to the achievement of the goal of the project, indicating its quantitative and qualitative characteristics and form of implementation. The justification of the result shall be given in accordance with the purpose and objectives of the project.

Depending on the requirements of the competition documentation, the forms of implementation of the project result may be:

1) publication of articles in foreign peer-reviewed scientific journals (alleged publications for the publication of project results, publication citation index, with reference to information about the publication in the relevant scientometric base). Requirements for the number of articles based on the research results shall be established in the competition documentation. Each article must contain information on the identification registration number and the name of the project under which it was financed, indicating grant funding as a source.

2) publication of monographs, books and (or) chapters in books of foreign and (or) Kazakh publishing houses;

3) obtaining patents from foreign patent offices (European, American, Japanese), from the Kazakh or Eurasian patent offices;

4) development of scientific and technical, design documentation;

5) dissemination of the results of the work to potential users, the community of scientists and the general public;

6) other measurable results in accordance with the requirements of the competition documentation and project features. Additionally, the following shall be specified in the section:

- 1) scope and target consumers of each of the expected results;
- 2) the impact of the expected results on the development of the main scientific direction and related fields of science and technology;
- 3) applicability and/or commercialization of the obtained scientific results;
- 4) social, economic, ecological, scientific and technical, multiplicative and (or) other effect of the project results with justification;
- 5) other direct and indirect results of the project, indicating their qualitative and quantitative characteristics.

#### 10. Bibliography

The section shall indicate the publications referred to in paragraph 3 "Scientific novelty and significance of the project."

Each publication must contain the full name of the journal, the publication number, the year of publication, page numbers, the full name of the article, and the names of all authors of the article.

Annex:

- 1) a plan to contribute to the implementation of the project by a private partner according to Table 9 (for applied scientific research).

#### 3. "Calculation of requested financing"

Part "Calculation of requested financing" shall be drawn up in the form of tables 2 - 7 justifying the calculation of the amount of grant financing requested for the project implementation, which shall be filled out in the information system of the expertise center.

Explanations for the calculations shall be given in section 7 "Justification of the requested financing" of the part "Explanatory note".

Table 1 - Composition of the research group for conducting scientific research, including foreign scientists, young scientists (postdoctoral, doctoral, master's and undergraduate students)

№ r/n	Full name (if any) education, degree , scientific rank 2	Employment place, position	H-index, Researcher ID, ORCID, Scopus Author ID (if any )	The role in the project or program, and the nature of the work	Brief justification for participation

<sup>2</sup>For members of the research group, whose data shall not be known at the date of preparation of the application and whose involvement shall be planned in the case of receiving a grant, the word "Vacancy" shall be indicated in the column "Full name (if any), education, degree, academic degree."



<sup>3</sup>For members of the research group who shall not be related to the main personnel and who shall not be identified at the date of preparation of the application, a dash shall be indicated in the column "Main place of work, position." For postdoctoral, doctorate students, postgraduates, and undergraduate students whose details shall not be known at the date of application preparation, the "Main place of work, position" column shall indicate the status (postdoctoral, doctorate student, post graduate, graduate, or undergraduate student, specialty, and organization of higher and/or postdoctoral education from which the relevant employees shall be recruited to the research group).

Table 2 - Summary estimate expense for requested amount

№ r/n	Name of the expense item	Amount of financing, KZT in thousands			
		Total	20__ (1-st year)	20__ (2-nd year)	20__ (3-d year)
1.	Remuneration (including taxes and other mandatory payments to the budget)				
2.	Business trips				
3	Scientific and organizational support, other services and works				
4.	Purchase of materials (for individuals and legal entities), purchase of equipment and/or software (for legal entities)				
5.	Rental expenses, operating expenses of machinery and equipment used for the implementation of research				
Total					

Table 3 – Remuneration (including taxes and other mandatory payments to the budget)

		Remuneration, KZT											
		1 <sup>st</sup> year				2 <sup>nd</sup> year				3 <sup>rd</sup> year			

№ r/n	Position	Employment (full/not full)	Labour payment, тенге в месяц	Number of work months	Amount (gr.3 × gr.4 × gr.5)	Employment (full/not full)	Remuneration, KZT in a month	Number of months of work	Amount (gr.7 × gr.8 × gr.9)	Employment (full/not full)	Remuneration, KZT in a month	Number of months of work	Amount (gr.11 × gr.12 × gr.13)	Total (gr.6+ gr.10+ gr.14)
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1.	Main staff of the research group			x				x				x		
1.1.														
1.2.														
...														
2.	Additional staff			x				x				x		
2.1.														
2.2.														
...														
3.	Total remuneration (gr.1+gr.2)	x	x	x		x	x	x		x	x	x		
4.	Taxes and other mandatory payments to the budget, (Total gr.4.1 + gr.4.2+ gr.4.3)	x	x	x		x	x	x		x	x	x		
4.1	Calculation of social	x	x	x		x	x	x		x		x		

	tax expenses									x			
4.2	Calculation of expenses for payment of social contributions to the State social insurance fund	x	x	x		x	x	x		x	x	x	
4.3	Contributions to mandatory social insurance	x	x	x		x	x	x		x	x	x	
Total (gr.3+gr.4)		x	x	x		x	x	x		x	x	x	

Table 4 – Business trips

№ r/n	Destination (country, city name of the settlement)	Rate of reimbursement of daily expenses per 1 person (2 x monthly calculation indicator) (KZT)	The rate of expenses for hiring residential premises per day per 1 person (KZT)	Average annual number of person/days to calculate daily expenses (person/days)	Average number of person/days for the calculation of the consumption of accommodation (person/days)	Average number of commands per person (person)	Average cost of one round trip (KZT)	Amount of expenses (KZT, in thousands) (gr.3 x gr.5 + gr.4 x gr.6+ gr. 7 gr.8)/1000
1	2	3	4	5	6	7	8	9
1.	20__ (1 <sup>st</sup> year) total						x	
1.1.								
1.2.								
...								
2.	20__ (2 <sup>nd</sup> year) total						x	

2.1.								
2.2.								
...								
3.	20__ (3 <sup>rd</sup> year) total						x	
3.1.								
3.2.								
...								
Total (gr. 1 + gr. 2 + gr. 3)							x	

**Таблица 5 – Scientific and organizational support, other services and works**

№ r/n	Name	Unit of measurement	Number, unit	Payment per unit	Total amount, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ (1 <sup>st</sup> year), total			x	
1.1.					
1.2.					
...					
2.	20__ (2 <sup>nd</sup> year), total			x	
2.1.					
2.2.					
...					
3.	20__ (3 <sup>rd</sup> year), total			x	
3.1.					
3.2.					
...					
Total (gr.1 + gr.2 + gr.3), KZT				x	

**Table 6 – Purchase of materials, equipment and/or software (for legal entities)**

№ r/n	Name	Unit of measurement	Number of units	Payment for a unit, KZT	Total amount, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ (1 <sup>st</sup> year), total			x	
1.1.					
1.2.					
...					
2.	20__ (2 <sup>nd</sup> year), total			x	
2.1.					
2.2.					
...					

3.	20__ (3 <sup>rd</sup> year), total			x	
3.1.					
3.2.					
...					
Total (gr.1 + gr.2 + gr.3), KZT				x	

**Table 7 – Rental expenses, operating expenses of machinery and equipment used for the implementation of research**

№ r/n	Name	Unit of measurement	Cost for one unit, KZT	Number, units	Total, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ (1 <sup>st</sup> year), total	x	x		
1.1.					
1.2.					
...					
2.	20__ (2 <sup>nd</sup> year), total	x	x		
2.1.					
2.2.					
...					
3.	20__ (3 <sup>rd</sup> year), total	x	x		
3.1.					
3.2.					
...					
Total (gr.1 + gr.2 + gr.3)		x	x		

**Table 8 - Implementation work plan**

№ r/n	Name tasks and measures for their implementation	Due date		Expected project results (in terms of tasks and activities), completion form
		Beginning (month)	End (month)	
20__				
20__				
20__				

**Table 9 - Partner contribution plan**

№ r/n	Partner name, address , contact information	Contribution form (not more than 50 words)	Deposit amount, KZT, in thousands	Date of entry (day, month, year)
1	2	3	4	5

## **Application for the implementation of a scientific, scientific and technical program within the framework of program-targeted financing**

The application shall consist of the following parts:

- 1) abstract;
- 2) explanatory note;
- 3) calculation of finance requested

### 1. Abstract

The abstract shall contain a brief description of the purpose of the program, the problems for the study of which it shall be aimed, the main approaches to conducting research, the expected results, the relevance of the tasks solved as a result of research for the purposes of socio-economic development on the scale of the Republic of Kazakhstan, indicated in state strategic and program documents, the degree of influence of research results on the relevant branch of the economy, the sphere of public relations and (or) the branch of science, the practical significance of research results, that is, the degree of their readiness for commercialization or in another capacity for solving urgent problems of socio-economic and scientific and technical development of the Republic of Kazakhstan.

Abstract cannot exceed 800 words.

### 2. Explanatory note

The content of the explanatory note shall include the following sections (at the same time, tables, diagrams, diagrams, which shall be referenced in the application form, shall be submitted to the annex to the explanatory note and shall not be taken into account when calculating the number of words in the corresponding sections and the total number of pages of the application):

#### 1. General information

1.1. Name of the topic of the scientific, scientific and technical program [no more than 20 words].

1.2. Name of priority and specialized scientific direction.

1.3. Area and type of research.

1.4. Selected technical task number.

1.5. A strategically important state task, for the solution of which a program has been developed.

1.6. Place of implementation of the program.

1.7. Estimated start and end date of the program, its duration in months.

1.8. Organization - applicant of the program.

1.9. Program executors (specify the name of all subjects participating in the program implementation).

1.10. The requested amount of program-targeted financing (for the entire period of the program implementation and by years, KZT, in thousands).

1.11. Keywords characterizing the industry and direction of the program for the selection of independent experts.

2. General concept of the program [not more than 750 words].

2.1. Introductory part [not more than 200 words].

A brief description of the idea of the program shall be indicated.

2.2. The target of the program [no more than 50 words].

The objective shall be stated succinctly and specifically, must be consistent with the theme of the program and the strategically important government task for which the program shall be designed, be achievable and reflect the nature of the decision expected to result from the program.

2.3. Objectives of the program [no more than 500 words].

This section shall describe how to achieve a program goal through logically interrelated, sequential objectives. The list of assigned objectives shall be given:

1) measurable indicators of solving the objectives;

2) a brief justification of the role of each of the tasks in achieving the goal of the program and the relationship with other tasks and the expected results of the program;

3) other important parameters, in the applicant's opinion.

3. Scientific novelty and significance of the program [no more than 2,000 words].

The section shall include the following information:

1) scientific groundwork for the development of the program, justification of scientific novelty with a mandatory review of previous scientific research conducted in the world and the Republic of Kazakhstan related to the topic of the program, and their relationship with this program (in the context, references should be made to the literature used in the review, the complete decoding of which should be presented in section 8 "Bibliography"), (if any, indicate the preliminary results and/or previously obtained results by the applicant related to the topic of the program);

2) compliance of the program with a strategically important state objectives, for the solution of which it was developed, the applicability of results for solving a strategically important state objectives, the importance of the program on a national and international scale, the impact of expected results on the development of science and technology, the expected social and economic effect;

3) scientific and technological needs justifying the importance of the program results (if any, include social demand and (or) economic and industrial interest, other supporting data);

4) competitiveness of the expected results of the program, their comparison with known existing analogues in the Republic of Kazakhstan and the world, experience in solving similar problems in the world, its application within the program;

5) fundamental differences between the idea of the program and existing analogues, or competing ideas. If the idea or result of the study already exists in the world and/or in Kazakhstan, it shall be necessary to justify why investments in the program shall be still profitable;

6) If one of the final results of the program is a product, it is necessary to describe the current state of the art in the subject area of the program;

7) If the program is a continuation of the scientific research previously carried out by the applicant or contains elements of previously funded and completed scientific research, it is necessary to clearly and succinctly state the relationship of the program with the previously conducted scientific research and its differences from them.

#### 4. Research methods and ethical questions [not more than 1,500 words]

The section shall include the following information:

1) description of the main scientific questions and hypotheses of the program, justification of the research strategy and approaches, types of research used in the program (descriptive, correlation and/or experimental), sequence of research;

2) a brief description of the most important experiments;

3) description of research methods used in the program as a justification for the methods of achieving the set goals, their relationship with the purpose and objectives of the program, among themselves;

4) methods of collecting primary (initial) information, its sources and application for solving program objectives, methods of data processing, as well as ensuring their reliability and reproducibility;

5) the conditions for registration and division of intellectual property rights into the results of the study (it is necessary to indicate what method of intellectual property protection will be chosen, justify the choice).

#### 5. Research team and program management.

The program management scheme shall be described, including the procedure for interaction between performers, methods of coordinating their work and making decisions on the implementation of the program.

The composition of the study group shall be drawn up in accordance with Table 1. Specify details of at least 70% (seventy percent) of the planned staff (core staff of the study team). For additional personnel (up to 30% of the research team members who shall be involved in the event of a grant), the table shall indicate their position and role in the project, the nature of the work performed and the approaches that shall be applied to their selection.

For the program supervisor, all publications confirming its compliance with the requirements of the competition documentation should be indicated, including with the citation index, quartile (percentile) of the publication and links to information about publications in the relevant scientometric databases (DOI). It shall be necessary to



indicate which programs he directed during the 5 (five) years preceding the application date and what results were obtained under them.

Information on publications of the main personnel of the research group in the direction of the program (at least 10 publications of the members of the research group in total) with a citation index and links to information on publications in the relevant scientometric bases should be provided. The names of the members of the research group should be underlined.

#### 6. Research environment [no more than 1,000 words]

The section shall include the following information:

1) justifying the participation of each performer in the program, based on their role, reserve and contribution to achieving the goal of the program (the performers of the program shall be subjects of scientific and (or) scientific and technical activities participating in the implementation of the program during the entire period);

2) involvement of third-party organizations in the implementation of the program with justification of the need to involve each organization, description of its role in the program, the nature of the work performed and contribution to achieving the goal and expected results;

3) description of the material and technical base available to the executors (equipment, devices, inventory, transport, buildings, structures, etc.) directly used for the implementation of the program, indicating the direction of its use and members of the research group who have skills to work with research equipment;

4) key domestic and international relations (collaborators and partners) used to implement the program, indicating the nature and justification of their use, using the infrastructure of other domestic and foreign organizations (laboratories) with justification;

5) justification of mobility: (1) scientific business trips and their impact on the implementation of the program, (2) periods of work on the basis of partner organizations and their impact on the implementation of the program. For each foreign business trip, the purpose, the expected result of the business trip and the contribution of the performer to the achievement of the program goal shall be briefly indicated.

#### 7. Justification of requested financing [not more than 2,000 words]

The section shall include the following information:

1). summary calculation by program (budget) according to Table 2. The program budget shall be allocated by the program supervisor in accordance with the work plan and cannot be directed to other expenses not related to this program.

The article "Remuneration (including taxes and other mandatory payments to the budget)" shall indicate the expenses to be paid as remuneration for work to members of the research group of the program, including post-doctoral students, doctoral students, master's and bachelor's degrees, as well as persons engaged in financial, economic and

legal support, taking into account individual income tax and mandatory pension contribution according to Table 3. The calculation also shall take into account the payment of holiday pay, except for compensation and incentive payments. The article also shall indicate expenses for the payment of social tax, social insurance and other mandatory payments to the budget.

The article "Official business trips" shall indicate all expenses related to business trips within and outside the Republic of Kazakhstan, directly related to research, including participation in conferences, seminars, symposia, trips to use the infrastructure of other organizations according to Table 4 (for tickets (car, railway, air tickets), attach price offers from the sites of the companies served, draft travel plan). When completing this table, it shall be necessary to follow the Rules on business trips within the Republic of Kazakhstan for employees of state institutions, contained at the expense of the state budget, approved by Resolution of the Government of the Republic of Kazakhstan dated September 22, 2000 No. 1428 and Resolution of the Government of the Republic of Kazakhstan dated May 11, 2008 No. 256 "On approval of the Rules for reimbursement of expenses for business trips at the expense of budget funds, including to foreign states."

The article "Scientific and organizational support, other services and works" shall indicate the expenses of services, purchased by the executor from business entities, the result of which shall be necessary to achieve the goal of the program, including (1) the services of collective scientific laboratories and other laboratories, (2) services of co-executive organizations, (3) organizational contributions for participation in conferences, seminars, symposia, (4) on the patenting of scientific results obtained as a result of the project, (5) publication of study results, (6) acquisition of analytical materials according to Table 5 (for purchased goods, works, services, attach at least 1 (one) quotation and/or price list). If foreign scientists and employees of other organizations participating in the implementation of the program are members of the research group, the expenses of their participation are reflected in the "Remuneration" section.

In the article "Purchase of materials (for individuals and legal entities), purchase of equipment and (or) software (for legal entities) " shall indicate all costs of materials and expenses for the purchase of equipment and software necessary to achieve the goal of the program, including chemicals, solvents, reference standards, consumable laboratory materials, spare parts for research equipment, fuels and lubricants and others according to Table 6 (for purchased goods, works, services, attach at least 1 (one) quotation and/or price list). At the same time, the purchase of equipment and software shall not be allowed to individuals.

The article "Rental costs, operating costs of machinery and equipment used for the implementation of research" shall indicate the cost of renting premises, machinery and

equipment necessary to achieve the goal of the project, in the absence of appropriate premises from the applicant, as well as the cost of utilities related to the implementation of the project and for the maintenance of premises, machinery and equipment directly involved in research according to Table 7 (for purchased goods, works, services, attach at least one (1) quotation and/or price list);

2) calculations for each expense item according to Tables 3 - 7.

3) brief explanations of the content and calculation of the value of each expense item with a mandatory justification of their need to achieve the goal, objectives and expected results of the program, as well as indicating the sources of information on prices, on the basis of which the corresponding expense item shall be calculated.

The total amount of all expense items shall be the requested amount for financing and shall be equivalent to the amount stated in clause 1.10. "General Information" section

8. Implementation plan of the program

The section shall include a detailed, sequential work plan for the implementation of the program according to Table 8.

9. Expected results of the program [no more than 1,000 words]

The expected results provided for by the program should not be lower than the results provided for in the scientific and technical tasks. In conjunction, the results should provide a comprehensive solution with an impact on all aspects of a strategically important state task.

The results of the program shall be described with indication of quantitative and qualitative characteristics and form of implementation. The justification of the result shall be given in accordance with the purpose and objectives of the program.

Regardless of the requirements of the competition documentation, the following shall be provided as a result of the program implementation:

1) publication of articles in international peer-reviewed scientific journals (alleged publications for publishing the results of the program, a publication citation index with reference to information about the publication in the corresponding scientometric base) . Requirements for the number of articles based on the research results shall be established in the competition documentation. Each article should contain information on the identification registration number and the name of the program under which it was funded, indicating program-targeted financing as a source.

2) publication of monographs, books and (or) chapters in books of foreign and (or) Kazakh publishing houses;

3) obtaining patents from foreign patent offices (European, American, Japanese), Kazakhstan or Eurasian patent offices;

4) development of scientific and technical, design documentation;

5) measures for pilot implementation of the program results and (or) dissemination of knowledge and results obtained during the program implementation among potential users, the community of scientists and the general public;

6) other measurable results in accordance with the requirements of the competition documentation and project features. Additionally, the following shall be specified in the section:

1) the area of implementation, target consumers, social, economic, environmental, scientific and technical, multiplicative and/or other effect of each of the expected results in accordance with a strategically important state task, for the solution of which a program with justification has been developed;

2) the impact of the expected results on the development of the main scientific direction and related fields of science and technology;

3) applicability and/or commercialization of the obtained scientific results.

4) other direct and indirect results of the program, indicating their qualitative and quantitative characteristics.

#### 10. Bibliography

The section shall indicate the publications referred to in paragraph 3 "Scientific novelty and significance of the program."

Each publication must contain the full name of the journal, the publication number, and the year of publication, page numbers, the full name of the article, and the names of all authors of the article.

Annex:

1) a plan to contribute to the implementation of the program on the part of a partner by analogy with Table 9 (for applied scientific research).

#### 3. Calculation of requested financing

Part "Calculation of requested financing" shall be drawn up in the form of Tables 2 - 7 justifying the calculation of the amount of funding requested for the implementation of the program, which shall be filled out in the information system of the expertise center.

Explanations for the calculations shall be given in section 7 "Justification of the requested financing" in the part of "Explanatory note".

Footnote. Upper right corner of Appendix 6 - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

Form

**Research assignment within program-targeted financing No. \_\_\_\_\_**

Footnote. The title - as amended by the Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

1. General information: 1.1. Name of priority for scientific, scientific and technical program (hereinafter referred to as the program) 1.2. Name of the specialized direction of the program:	
2. Aims and objectives of the program 2.1. The aims of the program:	
2.2. To achieve this aim, the following tasks must be solved: — —	
3. What paragraphs of strategic and program documents shall solve:	
4. Expected results 4.1. Direct results: - new knowledge or solutions, results of research, analyses, theoretical surveys, modeling obtained in the course of scientific and (or) scientific and technical activities; - introduction of scientific developments and technologies into production, as well as models, layouts, samples of new products, materials and substances; - results of patent research; - scientific and scientific and technical foundations for creating new types of products and methods of production (technologies); - algorithms, methods, methods for solving various technical and technological problems; - separate technical and technological solutions for creation of new types of products and methods of production (technologies); - calculations and mathematical (program) models of phenomena, processes, technologies, etc., - newly created regulatory, technical and methodological documentation related to research objects;	

- recommendations on the implementation of newly created (studied) methods, technical and technological solutions, technical requirements for the implementation of the results of research and development in real sectors of the economy;
- articles and reviews in international journals and domestic journals recommended by the authorized body, indicating the minimum requirements for their number and indexing of journals in the Web of Science and/or Scopus databases, as well as the minimum scientometric indicators of journals;
- patents and applications for their receipt, indicating the number and patent office;
- others;

4.2. Deliverable:

(how the results of the program shall contribute to the implementation of the target program activity, the achievement of target indicators and indicators of the target program; expected scientific and socio-economic effect, target consumers of the results obtained).

The results of the program should contribute to strengthening the intensity of industrialization and increasing the Index of economic complexity of Kazakhstan, an increase in the share of high-tech, medium-high industries and knowledge of intensive (knowledge-intensive) services in GDP (if any).

Economic impact indicators (by research industry): economic effect, development of competitive advantages (favorable influence on the development of the industry of future application, expansion of existing and emergence of new markets, cost reduction and product quality improvement, labor productivity growth, creation of reserves for growth points of Industry 4.0, Internet of items) (if any).

Environmental impact: environmental protection, rational environmental management, development of the "green economy" (reduction of harmful emissions, reduction and processing of production waste, emergence of environmentally friendly industries, reduction of energy consumption in production and everyday life, development of non-traditional energy sources) (if any).

The social effect of the program should reflect the contribution of its results to improving the social environment and improving the quality of life of the population and shall be characterized by the following indicators: increasing the life expectancy of the population, increasing the educational level of the population, promoting inclusive development (creating new drugs, producing organic products, developing creative industries and social innovations, etc.) (if any).

5. The maximum amount of the program (for the entire period of implementation of the program and by years, KZT, in thousands).

Appendix 7  
to the Rules of base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research

**Footnote. The Rules shall be supplemented by Appendix 7 pursuant to Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

The form

**Application for entering on the list of scientific organizations engaged in fundamental scientific research (for the amount of financing)**

Name of the organization: \_\_\_\_\_

Validation of the applicant's compliance with the status of a state scientific organization or scientific organization with 100% state participation:

Validation of conduct of fundamental scientific research in archeology, astronomy, astrophysics, atomic energy, oriental studies, art, history, culture, literature, mathematics and mechanics, education, political science, religious studies, sociology, philosophy, ethnology, linguistics:

Validation of experience in fulfillment of state order for conducting fundamental scientific research in the last 3 (three) years as an executor in the said fields

Theme of the fundamental research

**1. Pursuant to paragraph 1-1 of Article 25 of the Law, the current expenses for the current maintenance of scientific infrastructure, wages, envision the following items:**

№ п/п	Name of expenses item	Amount of financing, thous. KZT					
		1-st year	2-nd year	3-rd year	4-th year	5-th year	Total
1	2	3	4	5	6	7	8
1	Payment of utilities ( water, gas, electricity, heating, sewerage, ventilation)						
2	Payment for communication services and universal communication services						
3	Transport rental						
4	Purchase of commodities related to primary assets, consumables, purchase of other goods, other current costs, security costs ( protection of the facility and (or) property of individuals and legal entities, including during its transportation), costs for security alarms						
	Depreciation (wear) of primary assets used						





Research trips						
Other services and works						
Acquisition of materials						
Acquisition of hardware and/or software						
Scientific and organizational support						
Rental of equipment and machinery						
Operating costs of equipment and machinery						

Note:

1) estimations shall be made in accordance with the rates for financing scientific organizations

engaged in fundamental research;

2) the executor is responsible for the accuracy of the provided information established under the legislation.

The head of the organization \_\_\_\_\_

—

\_\_\_\_\_  
 (signature) Full name  
 Supervisor of fundamental research

\_\_\_\_\_  
 (signature) Full name

Accountant \_\_\_\_\_

\_\_\_\_\_  
 (signature) Full name

\_\_\_\_\_

Appendix 8  
 to the Rules of base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research

**Footnote. The Rules shall be supplemented by Appendix 8 pursuant to Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).**

The form

**Application for financing fundamental scientific research**

The application shall be comprised of the following parts:

- 1) abstract;
- 2) explanatory note;
- 3) calculation of the requested funding.

#### 1. Abstract

The abstract shall contain a brief description of the purpose of fundamental scientific research, the main approaches to conducting fundamental scientific research, expected results, the relevance of the tasks addressed in the fundamental scientific research for the purposes of socio-economic development on the national scale of the Republic of Kazakhstan, specified in state strategic and program documents, the extent of influence of the fundamental scientific research results on the relevant branch of the economy, public relations area and (or) the branch of science.

The abstract should not exceed 800 words.

#### 2. Explanatory note

The explanatory note must contain the following parts (tables, schemes, diagrams, to which there are references in the application form, are included in the appendix to the explanatory note and are not taken into account when calculating the number of words in the relevant sections and the total number of pages of the application):

##### 1. General information

1.1. Name of the topic of fundamental scientific research (no more than 20 words).

1.2. The name of the priority and specialized scientific direction.

1.3. Area of fundamental scientific research in accordance with paragraph 94 of these Rules.

1.4. Place of implementation of fundamental scientific research.

1.5. Estimated date of commencement and completion of fundamental scientific research, its duration in months.

1.6. Organization-applicant of fundamental scientific research.

1.7. Validation of the applicant's compliance with the status of a state scientific organization or a scientific organization with 100% participation of the state

1.8. Executors of fundamental scientific research (indicating the name of all the parties involved in the fundamental scientific research).

1.9. Requested amount (for the entire duration of the fundamental scientific research and by years, in thousand KZT).

1.10. Key words characterizing the research area and the direction of fundamental scientific research, for the selection of independent experts.

2. General concept of fundamental scientific research (no more than 750 words).

2.1. Introductory part (no more than 200 words).

A brief description of the fundamental scientific research idea shall be indicated.

2.2. The fundamental scientific research objective (no more than 50 words).

The objective shall be stated concisely and specifically, and correspond to the topic of the fundamental scientific research.

### 2.3. Program objectives (no more than 500 words).

This section shall describe ways to achieve the fundamental scientific research goal through logically interconnected, sequential tasks. The list of pursued tasks must be provided:

1) measurable indicators of problem solving;

2) a brief substantiation of the role of each of the tasks in achieving the goal of fundamental scientific research and the relationship with other tasks and expected results of fundamental scientific research;

3) other important, in the applicant's opinion, parameters.

3. Scientific novelty and significance of fundamental scientific research (no more than 1500 words).

The section shall contain the following information:

1) scientific groundwork for the development of fundamental scientific research, substantiation of scientific novelty with a mandatory review of previous fundamental scientific research conducted in the world and the Republic of Kazakhstan related to the topic of the program, and their relationship with this program (in the context, references to the literature used in the review shall be indicated that must be detailed in section 10 "Bibliography") (preliminary results, in their existence, and (or) results previously obtained by the applicant related to the topic of the program shall be indicated);

2) compliance of the program with the strategically important state task for which it was developed, applicability of the results for addressing the strategically important state task, national and international significance of the program, the impact of the expected results on the development of science and technology, the expected social and economic effect;

3) scientific and technological needs proving importance of the program results (in their presence, social demand and (or) economic and industrial interest shall be included, other supporting data);

4) competitiveness of the expected results of the program, their comparison with known existing analogues in the Republic of Kazakhstan and the world, experience in addressing similar problems in the world, its application within the program;

5) conceptual differences between the idea of the program and existing analogues or competing ideas. If the idea or result of the research already exists in the world and (or) in Kazakhstan, it is necessary to justify why investing in the program is still profitable;

6) If the program is a continuation of fundamental scientific research previously conducted by the applicant or contains elements of previously funded and completed

fundamental scientific research, it is necessary to clearly and concisely state the relationship of the program with previous scientific research and its differences from them.

4. Research methods and ethical issues (no more than 1500 words).

The following information shall be included in the section:

1) description of the main scientific issues and hypotheses of the program, substantiation of the research strategy and approaches, types of research applied in the program (descriptive, correlational and / or experimental), the sequence of fundamental scientific research;

2) brief description of the most important experiments;

3) description of the methods of fundamental scientific research used in the program as substantiation for the ways to achieve the goals set, their relationship with the goal and objectives of the program, their interconnection;

4) methods for collecting primary (initial) information, its sources and application for solving the problems of the program, methods for processing data, their assurance and reproducibility;

5) conditions for elaboration and division of intellectual property rights to the fundamental scientific research results (it is necessary to indicate which method of intellectual property protection will be chosen, explain the choice).

5. Research team and program management.

The program management scheme shall be described, including the interaction order between the performers, ways of coordinating their work and making decisions on the implementation of the program.

The research team shall be composed according to Table 1. Details of the planned staff shall be indicated, the table shall indicate their position and role in the program, the nature of the work performed and approaches that will be used to select them.

For the program supervisor, all publications must be indicated, including those with a citation index, quartile (percentile) of the publication and references to the publications in the relevant scientometric databases (DOI). It is necessary to indicate which programs he led during the 5 (five) years preceding the date of application, and what results were obtained within them.

Information shall be provided on publications of the main research team members on the program direction (at least 10 publications of the research team members) with a citation index and links to information about publications in the relevant scientometric databases. The names of the research team members shall be underlined.

6. Research environment (no more than 1000 words).

The section shall provide the following information:

1) rationalization for engagement of each executor in the program based on their role, experience and contribution to achieving the goal of the program (the executors of

the program are the subjects of scientific and (or) scientific and technical activities engaged in the program during the entire period);

2) involvement in the program of third-party organizations with a rationale for the need to involve each organization, description of its part in the program, the nature of the work performed and contribution to the achievement of the goal and expected results;

3) description of the facilities and resources the performers avail of (equipment, instruments, inventory, transport, buildings, structures, etc.) directly used to implement the program, indicating the direction of its use and members of the research team with the skills of working with the research equipment;

4) key domestic and international relations (collaborators and partners) engaged in the program, indicating the nature and justification of their use, the use of the infrastructure of other domestic and foreign organizations (laboratories) with justification;

5) rationale for mobility: (1) research trips and their impact on program implementation, (2) periods of work on the basis of partner organizations and their impact on program implementation. For each foreign trip, the purpose, the expected result of the trip and the contractor's contribution to achieving the program goal shall be briefly indicated.

7. Rationale for the requested funding (no more than 2000 words).

The section shall provide the following information:

1) Consolidated estimates for the program (budget) according to Table 2. The program budget shall be distributed by the research supervisor of the program in accordance with the work plan and cannot be distracted to other expenditure items unrelated to this program.

The item "Research trip" shall indicate all expenses associated with research trips within and outside the Republic of Kazakhstan, directly related to the conduct of fundamental scientific research, including participation in conferences, seminars, symposiums, trips to use the infrastructure of other organizations according to table 3 (on tickets (road, rail, air tickets) with attached price offers from the websites of the companies served, a draft travel plan). When filling out this table, it is necessary to be guided by the Rules on business trips within the Republic of Kazakhstan for the staff of state institutions maintained at the state budget expense, approved by the Resolution of the Government of the Republic of Kazakhstan dated September 22, 2000 No. 1428, and the Resolution of the Government of the Republic of Kazakhstan dated May 11, 2018 No. 256 "On approval of the Rules for reimbursement of expenses for business trips at the expense of budgetary funds, including those to foreign countries.

In the item "Scientific and organizational support, other services and works" the costs of services shall be indicated acquired by the contractor from business entities,

the result of which is necessary for achieving the goal of the program, including (1) services of scientific laboratories for collective use and other laboratories, (2) services of co-executing organizations, (3) organizational fees for participation in conferences, seminars, symposiums, (4) patenting of scientific results obtained in the project, (5) publication of research results, (6) acquisition of analytical materials according to Table 4 (on acquired goods, works, services, at least 1 (one) price offer and (or) price list must be attached).

The item "Acquisition of materials, equipment and (or) software" shall indicate all costs for materials and expenses for the acquisition of equipment and software necessary to achieve the goal of the program, including chemicals, solvents, reference materials, laboratory consumables, spare parts for research equipment, fuels and lubricants and others according to Table 5 (on acquired goods, works, services, with at least 1 (one) price offer and (or) price list attached). The purchase of equipment and software shall not be allowed for individuals.

The item "Expenses for rent, operating costs of equipment and machinery used for the implementation of research" must indicate the costs of renting the premises, equipment and machinery necessary to achieve the goal of the project, in the absence of the applicant's appropriate premises, as well as the costs of utilities associated with implementation of the project and maintenance of the premises, equipment and machinery directly involved in the conduct of research, according to Table 6 (for acquired goods, works, services, at least 1 (one) price offer and (or) price list must be attached).

2) Calculations for each expenditure item according to tables 3 - 6.

3) Brief explanations of the content and calculation of the value of each item of expenditure with obligatory rationale for their need to achieve the goals, objectives and expected results of the program, as well as indication of the information sources on prices, on the basis of which the corresponding expenditure item was calculated.

The total amount of all expenditure items represents the requested amount for funding and must be equivalent to the amount declared in paragraph 1.8, section "General information".

8. Program implementation plan

The section shall provide a detailed, consistent work plan for the implementation of the program according to Table 7.

9. Expected results of the program (no more than 1000 words).

Expected results should provide a comprehensive solution that envisions an impact on all aspects of a strategically important state task.

The program results must be described with indication of quantitative and qualitative characteristics and the implementation form. The result shall be substantiated in accordance with the purpose and objectives of the program.

The program outcome shall be:

1) publication of articles in international peer-reviewed scientific journals (presumptive publications for publishing of the program results, citation index of the publication with reference to information about the publication in the corresponding scientometric database). Each article must contain information about the identification registration number and the name of the program under which it was funded, indicating the funding source.

2) publication of monographs, books and (or) chapters in books of foreign and (or) Kazakh publishing houses;

3) obtaining patents in foreign patent bureaus (European, American, Japanese), Kazakh or Eurasian patent bureau;

Additionally, the section shall specify:

1) scope, target consumers, social, economic, environmental, scientific and technical, multiplicative and (or) other effect of each of the expected results in accordance with the strategically important state task, to address which the program with rationale has been developed;

2) the impact of the expected results on the development of the main scientific direction, related areas of science and technology;

3) other direct and indirect results of the program, indicating their qualitative and quantitative characteristics.

#### 10. Bibliography

The section shall indicate publications, references to which were made in paragraph 3 "Scientific novelty and significance of the program".

Each publication must contain the full name of the journal, issue number, year of publication, page numbers, full title of the article, names of all the authors of the article

#### 3. Calculation of requested funding

The part "Calculation of requested funding" shall be drawn up in the form of tables 2 - 6, substantiating the calculation of the amount of funding requested for the implementation of the program, which are filled in the information system of the center of expertise.

Explanations to the calculations are given in section 7 " Rationale for requested funding" in the part "Explanatory note".

**Table 1 –Membership of the research team for conducting fundamental scientific research, including foreign scientists, young scientists (postdoctoral researchers, doctoral, master and bachelor students)**

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№ п/п	Full name, education, degree , academic title <sup>1</sup>	Main place of work, position <sup>2</sup>	Hirsch index, Researcher ID, ORCID, Scopus Author ID (if available)	Role in the project or program and the nature of the work performed	Brief rationale for participation

<sup>1</sup> For members of the research team, whose details are not known on the application preparation date and whose involvement is planned in case of receiving a grant, in the column “Full name, degree/academic degree, academic title” the word “Vacancy” shall be indicated.

<sup>2</sup> For members of the research team unrelated to the main staff and who are not identified on the application preparation date, a dash shall be indicated in the column "Main place of work, position". For postdoctoral students, doctoral, master and bachelors students, whose data is not known on the application preparation date, in the column "Main place of work, position" the status shall be indicated (postdoctoral student, doctoral student, master or bachelor, qualification and organization of higher and (or) postgraduate education, from which the relevant staff members are supposed to be involved in the research group).

**Table 2 – Consolidated cost estimate for the requested amount**

No.	Name of expenses item	Financing amount, thous. KZT				
		Total	20__ year (1-st year)	20__ year (2-nd year)	20__ year (3-rd year )	20__ year (4-th year)
1.	Research trips					
2.	Scientific and organizational support, other services and works					
3.	Acquisition of materials, hardware and/or software					
	Expenses for rent, operating expenses of equipment and					

4.	machinery used for implementation of research							
Total								

**Table 3 – Research trips**

No.	Destination (country, city, name of locality)	Reimbursement rate of daily expenses per 1 person. (2 monthly calculation indices) (KZT)	Rate of expenses for renting accommodation per day for 1 person (KZT)	Average annual number of person-days for daily cost calculation (person-days)	Average annual number of person-days for calculating the cost of renting accommodation (person-days)	Average annual number of seconded persons	Average cost of one round trip (KZT)	Amount of expenses (thousand KZT) (gr. 3, gr.5 +gr.4, gr.6+ gr.7 gr.8)/1000
1	2	3	4	5	6	7	8	9
1.	20__ year (1-st year), total						x	
1.1.								
1.2.								
...								
2.	20__ year (2-nd year), total						x	
2.1.								
2.2.								
...								
3.	20__ year (3-rd year), total						x	
3.1.								
3.2.								
...								
4.	20__ year (4-th year), total						x	
4.1.								
4.2.								
...								
5.	20__ year (5-th year ) total						x	
5.1.								
5.2.								
...								
Total (gr. 1 + gr. 2 + gr. 3+ gr. 4+ gr. 5)							x	

**Table 4 – Scientific and organizational support, other services and works**

No.	Name	Measurement unit	Number of units	Cost per unit, KZT	Total cost, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ year (1-st year), total			x	
1.1.					
1.2.					
...					
2.	20__ year (2-nd year), total			x	
2.1.					
2.2.					
...					
3.	20__ year (3-rd year), total			x	
3.1.					
3.2.					
...					
4.	20__ year (4-th year), total			x	
4.1.					
4.2.					
...					
5.	20__ year (5-th year), total			x	
5.1.					
5.2.					
...					
Total (gr. 1 + gr. 2 + gr. 3+ gr. 4+ gr. 5), KZT				x	

**Table 5 – Acquisition of materials, hardware and/or software**

No.	Name	Measurement unit	Number of units	Cost per unit, KZT	Total cost, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ year (1-st year), total			x	
1.1.					
1.2.					

...					
2.	20__ year (2-nd year), total			x	
2.1.					
2.2.					
...					
3.	20__ year (3-rd year), total			x	
3.1.					
3.2.					
...					
4.	20__ year (4-th year), total			x	
4.1.					
4.2.					
...					
5.	20__ year (5-th year), total			x	
5.1.					
5.2.					
...					
Total (gr. 1 + gr. 2 + gr. 3+ gr. 4+ gr. 5), KZT				x	

**Table 6 – Expenses for rent, operating expenses of equipment and machinery used for implementation of research**

No.	Name	Measurement unit	Cost per unit, KZT	Number of units	Total, KZT (gr.4 × gr.5)
1	2	3	4	5	6
1.	20__ year (1-st year), total	x	x		
1.1.					
1.2.					
...					
2.	20__ year (2-nd year), total	x	x		
2.1.					
2.2.					
...					
3.	20__ year (3-rd year), total	x	x		

3.1.					
3.2.					
...					
4.	20__ year (4-th year), total	x	x		
4.1.					
4.2.					
...					
5.	20__ year (5-th year ), total	x	x		
5.1.					
5.2.					
...					
Total (gr. 1 + gr. 2 + gr. 3+ gr. 4+ gr. 5)		x	x		

**Table 7 - Program implementation plan**

No.	Name of tasks and measures for their implementation	Execution term		Expected results of the project (in the context of tasks and activities), form of completion
		Start	End	
20__ year				
20__ year				
20__ year				
20__ year				
20__ year				

Appendix 9  
to the Rules of base and program-targeted financing of scientific and (or) scientific and technical activities, grant financing of scientific and (or) scientific and technical activities and commercialization of the results of scientific and (or) scientific and technical activities, financing of scientific organizations engaged in fundamental scientific research

Footnote. The Rules shall be supplemented by Appendix 9 pursuant to Resolution No. 755 of the Government of the Republic of Kazakhstan dated 27.09.2022 (shall be enforced from the date of its first official publication).

The form

**Report on the use of allocated funds of scientific organizations engaged in fundamental scientific research for research**

Name of the administrant: \_\_\_\_\_

No.	Name of expenses item	Budgeted amount	Actually spent amount	Costs savings (if any)	Name of supporting documents	Note
1	2	3	4	5	6	7
1	Research trips					
2	Other services and works					
3	Acquisition of materials					
4	Acquisition of hardware and/or software					
5	Scientific and organizational support					
6	Rent of premises					
7	Rent of equipment and machinery					
8	operating expenses of equipment and machinery					
	Total	Total	Total	Total		

Note:

the executor is responsible for the accuracy of the provided information established under the legislation.

The head of the organization \_\_\_\_\_  
 (signature) Full name

Accountant \_\_\_\_\_  
 (signature) Full name

**Report on the use of allocated funds of scientific organizations engaged in fundamental scientific research for the current maintenance of scientific infrastructure, wages**

No.	Name of expenses item	Budgeted amount	Actually spent amount	Costs savings (if any)	Name of supporting documents	Note
1	2	3	4	5	6	7
1	Wages					
2	Payment of utilities (water, gas, electricity, heating, sewerage, ventilation)					
3	Payment for communication services and universal communication services					
4	Transport rental					
5	Purchase of commodities related to primary assets, consumables, purchase of other goods, other current costs, security costs (protection of the facility and (or) property of individuals and legal entities, including during its transportation), costs for security alarms					
6	Depreciation (wear) of primary assets used in scientific and (or) scientific and technical					

	activities, current repairs of the building, equipment					
7	Rent of premises to accommodate the administrative staff, laboratories and other premises ( vivarium, storage facilities, etc.) used to carry o u t fundamental scientific research, if they are not on the balance sheet of the organization					
8	Taxes and other obligatory payments to the budget					
	TOTAL	Total	Total	Total		

Note:

the executor is responsible for the accuracy of the provided information established under the legislation.

The head of the organization \_\_\_\_\_  
(signature) Full name

Accountant \_\_\_\_\_  
(signature) Full name