



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

Unofficial translation

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

Unofficial translation

In order to implement paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan dated July 7, 2020 "On Public Health and Healthcare System", I HEREBY ORDER:

1. To approve:

1) the rules for assigning and revising the status of a scientific organization in the field of healthcare in accordance with Appendix 1 to this order;

2) the rules for assessing the effectiveness of scientific, scientific-technical and innovative activities in accordance with Appendix 2 to this order.

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

1) state registration of this order in the Ministry of Justice of the Republic of Kazakhstan;

2) placement of this order on the Internet resource of the Ministry of Healthcare of the Republic of Kazakhstan after its official publication;

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

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

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

*Minister of Healthcare
of the Republic of Kazakhstan*

A. Tsoy

" A G R E E D "

Ministry of
Science of the Republic of Kazakhstan

E d u c a t i o n a n d

Approved

by the order of the
Minister of Healthcare
of the Republic of Kazakhstan
dated December 23, 2020
No. KR HM-316/2020
Appendix 1 to the order

Rules for assigning and revising the status of a scientific organization in the field of healthcare

Chapter 1. General provisions

1. The rules for assigning and revising the status of a scientific organization in the field of healthcare have been developed in accordance with paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan dated July 7, 2020 "On Public Health and Healthcare System" (hereinafter - the Code) and shall determine the procedure for assigning and revising the status of a scientific organization in the field of healthcare based on the results of assessing the effectiveness of scientific, scientific-technical and innovative activities.

2. The status of a scientific organization in the field of healthcare shall be assigned taking into account the Nomenclature of healthcare organizations approved by the order of the Minister of Healthcare of the Republic of Kazakhstan dated October 8, 2020 No. KR HM-117 /2020 "On approval of the Nomenclature of healthcare organizations" (registered in the Register of state registration of regulatory legal acts No. 21385) (hereinafter - the Order).

3. The following terms and definitions are used in these Rules:

1) a scientific organization in the field of healthcare - a national center, scientific center or scientific-research institute carrying out scientific, scientific-technical and innovative activities in the field of healthcare, as well as medical, pharmaceutical and (or) educational activities;

2) an authorized body in the field of healthcare (hereinafter-the authorized body) - a central executive body carrying out management and intersectoral coordination in the field of healthcare protection of citizens of the Republic of Kazakhstan, medical and pharmaceutical science, medical and pharmaceutical education, sanitary and epidemiological welfare of the population, circulation of medicines and medical devices, the quality of medical services (assistance);

3) an organization of health care - a legal entity carrying out activities in the field of healthcare;

4) scientific activity - an activity aimed at studying the surrounding reality in order to identify the properties, characteristics and patterns inherent in the studied objects, phenomena (processes), and the use of the knowledge gained in practice;

5) scientific-technical activities - activities aimed at obtaining and applying new knowledge in all areas of science, technology and production to solve technological, design,

economic, socio-political and other problems, ensuring the functioning of science, technology and production as a single system, including the development of regulatory and technical documentation required for conducting these studies;

6) innovation activity - activity (including scientific, scientific-technical, technological, infocommunication, organizational, financial and (or) commercial activity) aimed at creating innovations.

Chapter 2. The procedure for assigning the status of a scientific organization in the field of healthcare

4. The procedure for assigning the status of a scientific organization in the field of healthcare includes:

1) submission of a presentation on assigning it the status of a scientific organization in the field of healthcare by a health organization to the authorized body, indicating the information: on the available scientific units, equipment and facilities, scientific-research personnel (for newly created legal entities);

on the effectiveness of scientific, scientific-technical and innovative activities over the past 3 years (for existing organizations);

2) consideration of the submission on assigning the status of a scientific organization in the field of healthcare by the Scientific council of the authorized body in the field of healthcare (hereinafter - the Scientific council) within a period of not more than 60 working days by:

assessing the potential of a healthcare organization for scientific, scientific-technical and innovative activities (for newly created healthcare organizations);

assessing the compliance of the healthcare organization with the requirements for human resources and incomes from research activities specified in paragraph 9 of these Rules, as well as assessing the effectiveness of scientific, scientific-technical and innovative activities over the past 3 years (for existing healthcare organizations);

3) making one of the following decisions by the Scientific council:

on approval of the presentation of a healthcare organization on assigning it the status of a scientific organization in the field of healthcare;

on refusal to issue an approval for the presentation of a healthcare organization on assigning it the status of a scientific organization in the field of healthcare.

5. The Scientific council approves the presentation of a healthcare organization on assigning it the status of a scientific organization in the field of healthcare if the organization meets the requirements specified in paragraphs 7 and 9 of these Rules, and the presence of activity over the past three years on such indicators of assessing the effectiveness of scientific, scientific-technical and innovative activities, such as the number of publications in the Web of Science (Web of Science), Scopus (Scopus), Springer (Springer) and citations of scientific works.

6. The Scientific council shall refuse to issue an approval for the presentation of a health organization on assigning it the status of a scientific organization in the field of healthcare if the organization does not meet the requirements specified in paragraphs 7 and 9 of these Rules, and the lack of activity over the past three years on such indicators of scientific performance assessment, scientific-technical and innovative activities, such as the number of publications in the Web of Science (Web of Science), Scopus (Scopus), Springer (Springer) and citation of scientific works.

7. An assessment of the potential for scientific, scientific-technical and innovative activities shall be carried out on the basis of an analysis of information provided by the healthcare organization on availability in the organization's structure of scientific units, equipment and facilities necessary for conducting scientific research in the field of healthcare, as well as scientific-research personnel with sufficient level of qualification and experience in scientific-research activities;

8. An assessment of effectiveness of scientific, scientific-technical and innovative activities of an organization-applicant shall be carried out in the manner prescribed by paragraph 1 of Article 225 of the Code.

9. A healthcare organization confirms compliance with the following requirements for human resources and incomes from scientific-research activities:

1) the share of scientific employees, as well as employees-members of temporary research teams from among the production personnel, from the total number of production personnel of the applicant-organization is not less than 10%;

2) the share of income from scientific and innovative activities, other types of research activities (biomedical, sociological and analytical research) in the total budget of the organization is:

2) the share of income from scientific and innovative activities, other types of research activities (biomedical, sociological and analytical research) in the total budget of the organization is:

for the organization of a clinical profile - at least 0.5%;

for the organization of a non-clinical profile - at least 5%.

10. On the basis of a positive conclusion of the Scientific council, an order shall be issued by the authorized body on assigning the status of a scientific organization to a healthcare organization in the field of healthcare with definition of the name of the organization in accordance with the Order. The status of a scientific organization in the field of healthcare shall be assigned for an unlimited period and revoked in the manner prescribed in Chapter 3 of these Rules.

Chapter 3. Procedure for revising the status of a scientific organization in the field of healthcare

11. The Scientific council annually considers the results of assessing the effectiveness of scientific, scientific-technical and innovative activities of scientific organizations in the field of healthcare.

12. The Scientific council submits to the Authorized body a presentation to revoke the status of a scientific organization in the field of healthcare from the assessed scientific organization in the field of healthcare upon revealing one of the following facts:

1) presence of negative dynamics and (or) lack of activity in 4 or more indicators of scientific, scientific- technical and innovative activity over the past 3 years (according to the assessment of effectiveness of scientific, scientific-technical and innovative activities carried out in the manner prescribed by paragraph 1 of Article 225 of the Code);

2) non-compliance of a scientific organization in the field of healthcare with one of conditions specified in subparagraphs 1) and 2) of paragraph 9 of these Rules within 2 years (according to the reports of scientific organizations on implementation of the Plans of organization's development).

13. In case of disagreement with the decision of the Scientific council regarding the assignment or revocation of the status of a scientific organization, an organization of healthcare or a scientific organization shall file an appeal.

14. The Appeal commission shall be created by the order of an authorized body.

The composition of the Appeal commission consists of an odd number of at least 5 members.

The Appeals commission is composed of the applicant's representatives and independent experts.

15. On the basis of the presentation of the Scientific council on revocation of the status of a scientific organization, an order of the authorized body shall be issued to revoke the status of a scientific organization in the field of healthcare from a health care organization.

Approved
by the order of the
Minister of Healthcare
of the Republic of Kazakhstan
dated December 23, 2020
No. KR HM-316/2020
Appendix 2 to the order

Rules for assessing the effectiveness of scientific, scientific-technical and innovative activities

Chapter 1. General provisions

1. The rules for assessing the effectiveness of scientific, scientific-technical and innovative activities have been developed in accordance with paragraph 1 of Article 225 of the Code of the Republic of Kazakhstan dated July 7, 2020 of the Code and shall determine the procedure for assessing the effectiveness of scientific, scientific-technical and innovative activities.

2. The following terms and definitions are used in these Rules:

1) the impact factor of a journal - a formal numerical indicator of importance of a scientific journal, calculated as the ratio of the number of references that the journal received in the current year to articles published in this journal in the previous two years to the number of articles published in this journal in the same two previous years;

2) Hirsch index or h-index - scientometric indicator of a scientist. The Hirsch index is calculated based on the distribution of citations of the works of this researcher: a scientist has an h-index if h of his N articles are cited at least h times each, while the remaining N-h articles of his are cited no more than h times each;

3) quartile (Q) - a category of scientific journals, which is determined by bibliometric indicators reflecting the level of citation, that is, the demand for a journal by the scientific community. Journals by a narrow subject area are ranked in descending order of the corresponding indicator (impact factor or SJR) and the list is divided into 4 equal parts. As a result of the ranking, each journal falls into one of four quartiles: from Q1 (the highest, to which the most authoritative foreign journals belong) to Q4 (the lowest);

4) the normalized index SJR (SCImago Journal Ranking) - a formal numerical indicator of the importance of a scientific journal, in the calculation of which not only the total number of citations is taken into account, but also weighted citation rates by years and qualitative indicators, such as the authority of references. The normalized SJR index is calculated by the SCImago research group, which analyzes, presents and searches for information using visualization techniques, for journals indexed in the Scopus database;

5) a reporting period - a period of time for which an assessment of the effectiveness of scientific, scientific- technical and innovative activities of organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall be carried out from January 1st to December 31st for the previous year;

6) an assessed organization - an organization of higher and (or) postgraduate education or a scientific organization in the field of healthcare, providing data on indicators and indications of scientific and innovative activity;

7) production personnel - employees of scientific, clinical departments (employees of university clinics in organizations of higher and (or) postgraduate education), teaching staff, other categories of personnel of departments whose profile is related to the treatment process, diagnosis, prevention and organization of healthcare (with the exception of service, educational-auxiliary and secondary medical personnel);

8) a scientific organization in the field of healthcare - a national center, scientific center or scientific-research institute carrying out scientific, scientific-technical and innovation activities in the field of healthcare, as well as medical, pharmaceutical and (or) educational activities;

9) scientific activity - activities aimed at studying the surrounding reality in order to identify the properties, characteristics and patterns inherent in the studied objects, phenomena (processes), and the use of the knowledge gained in practice;

10) scientific-technical activities - activities aimed at obtaining and applying new knowledge in all areas of science, technology and production to solve technological, design, economic and socio-political and other problems, ensuring the functioning of science, technology and production as a single system, including the development of regulatory and technical documentation required for these studies;

11) innovation activity - activity (including scientific, scientific-technical, technological, infocommunication, organizational, financial and (or) commercial activity) aimed at creating innovations;

12) organization of higher and (or) postgraduate education - a higher educational institution implementing educational programs of higher and (or) postgraduate education and carrying out scientific-research activities.

Chapter 2. The procedure for assessing the effectiveness of scientific, scientific-technical and innovative activities

3. Assessment of the effectiveness of scientific, scientific-technical and innovative activities of organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall be carried out according to the indicators of scientific, scientific-technical and innovative activities of the production personnel of these organizations for the reporting period (year).

4. Assessment of the effectiveness of scientific, scientific-technical and innovative activities of organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall be carried out in accordance with the procedure for assessing indicators of the effectiveness of scientific, scientific-technical and innovative activities in accordance with Appendix 1 to these Rules.

The working body for assessing the effectiveness of scientific, scientific-technical and innovative activities (hereinafter-the working body) shall be determined by the authorized body. The working body carries out the functions of organizing and technical support of the procedure for assessing the effectiveness of scientific, scientific-technical and innovative activities.

5. When assessing the effectiveness of scientific, scientific-technical and innovative activities of organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare, the following formula shall be used:

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

where S- the total assessment of the effectiveness of scientific and innovative activities of the organization of higher and (or) postgraduate education and a scientific organization in the field of healthcare;

I1, I6 - the sum of the assessment for each indicator;

Q1, Q6 - weight coefficients of the corresponding indicators.

who and how should

6. Organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall submit to the working body, by the 25th day of the month following the reporting period, information about indicators on paper or electronic carriers, as well as a list and electronic archive of scanned copies of supporting documents for each indicator (the electronic archive is formed in the context of individual indicators and indications). The working body, in agreement with the authorized body, shall determine the form in which information on indicators is presented.

Organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall submit supporting documents in accordance with the requirements specified in the conditions for offsetting indicators and the list of supporting documents for individual indicators in accordance with Appendix 2 to these Rules.

7. Scientific products, for which the assessed organization did not submit supporting documents, shall not be taken into account when calculating the ranking results, and in case of later receipt by the authors of supporting documents, it shall be included in the indicators of the next reporting period.

8. Assessment of the effectiveness of scientific, scientific-technical and innovative activities of organizations of higher and (or) postgraduate education and scientific organizations in the field of healthcare shall be carried out within three categories:

- 1) scientific organizations in the field of healthcare of clinical profile;
- 2) scientific organizations in the field of healthcare of a non-clinical profile;
- 3) organizations of higher and (or) postgraduate education in the field of healthcare.

Appendix 1
to the Rules for assessing the
effectiveness of scientific,
scientific-technical and
innovative activities

The procedure for assessing indicators of the effectiveness of scientific, scientific-technical and innovative activities

№	Indicator name		The procedure for assessing the components of indicator	The mechanism for calculating the total assessment for indicator	Weight coefficient
	№	Components of indicator assessment			

The amount of profit from scientific researches			
1	1. The amount of funds raised for conducting researches in the framework of budget program-targeted funding in the reporting year	For every 5 0 0 thousand tenge is assigned: 0.2 point × k11	(The sum of points for indicators 1.1-1.5) / (the number of full-time production personnel in the assessed organization)
	2. The amount of funds raised for conducting researches in the framework of grant (from the residents of the Republic of Kazakhstan) in the reporting year	For every 5 0 0 thousand tenge is assigned: 0.2 points × k1	
	3. The amount of funds raised for conducting researches in the framework of grant funding (from non-residents of the Republic of Kazakhstan and foreign grant sponsor) in the reporting year	For every 5 0 0 thousand tenge is assigned: 0.3 points × k1	
	4. The amount of funds raised for conducting researches in the framework of other forms of financing in the reporting year	For every 5 0 0 thousand tenge is assigned: 0.1 point × k1	
	5. The amount of funds raised for conducting researches in the framework of initiative researches (self-financing) in the reporting year	For every 5 0 0 thousand tenge is assigned: 0.15 points	
Number of publications in Web of Science (Web of Science), Scopus (Scopus), Springer (Springer) 2			
2	1. Articles in scientific journals, in the databases of Web of Science (Web of Science), Scopus (Scopus), Springer (Springer)	For 1 article is assigned: 10 points × k2.13 × k2.24	(The sum of points for indicators 2.1-2.3) / (the number of full-time production personnel in the assessed organization)
	2. Scientific monographs indexed in the databases of Web of Science (Web of Science), Scopus (Scopus), Springer (Springer)	For 1 monograph is assigned: 200 points	
		For the chapter of monograph	

0,1

0,25

	3.	Chapters in collective monographs indexed in the databases of Web of Science (Web of Science), Scopus (Scopus), Springer (Springer)	is assigned: 50 points		
	4.	Short publications (letter to the editor, correspondence, commentary, reply to commentary, etc.), excluding conference proceedings	For 1 publication is assigned: 1 point × k2.1 × k2.2		
	Citations of scientific works 5				
	1	The number of citations of scientific works (published within the last 5 years) in the reporting year according to Web of Science or Scopus data (if there is data on the citation of scientific work in both databases, the value from the database where citation has maximum value shall be used)	For 1 citation is assigned: 5 points	[(Sum of points for indicators 3.1-3.2) / (number of full rates of production personnel in the assessed organization)] + [Sum of points for indicators 3.3-3.4]	0,25
	2	The number of citations of scientific works (published within the last 5 years) in the reporting year according to data from Google Scholar (Google Scholar)	For 1 citation is assigned: 0.5 points		
3	3	The average Hirsch index of production personnel 6 according to the Web of Science or Scopus (if there is data on the employee's presence of the Hirsch index in both databases, the value from the database where the Hirsch index has the maximum value) at the end of the reporting year shall be used	1000 points × average Hirsch index		
	4	Average Hirsch index of production personnel according to Google Scholar (Google Scholar) at the end of the reporting year	100 points × researcher's Hirsch index		
	The number of patents and other titles of protection (in which the organization itself is indicated as the patent owner)				
	1	Patents issued by foreign or international patent agencies in the reporting year	For 1 patent is assigned: 100 points × k47	(The sum of points for indicators 4.1-4.3) / (number of full rates of production personnel in the assessed organization)]	0,15
4	2	Patents of the RK for invention, utility model in the reporting year	For 1 patent is assigned: 50 points		
	3	Certificate of registration of the intellectual property object in the reporting year	For 1 certificate is assigned: 3 points		
	The level of commercialization of the results of scientific researches and innovation activities				

5	1	The amount of profit received in the reporting year from the commercialization of scientific developments and innovations (for which a title of protection was obtained with the ownership of the assessed organization during the last 3 years)	0.2 points for every 5 0 0 thousand tenge of profit	The sum of points for indicator 5.1 / number of full rates of production personnel in the assessed organization	0,15
6		Level of participation in international conferences and forums		The sum of points for the indicator 5.1 of the organization / the number of full rates of production personnel in the assessed organization	0,1
1		Number of publications (abstracts, articles) in collections of materials of international scientific conferences (Conference Proceedings), indexed in the databases of scientific information Web of Knowledge (Web of Knowledge) and Scopus (Scopus).	For each publication is assigned: 10 points × k68		

Appendix 2
to the Rules for assessing the effectiveness of scientific, scientific-technical and innovative activities

Conditions for offsetting indicators and a list of supporting documents for individual indicators

№	Indicator name	Supporting documents provided by the assessed organization
1	The amount of profit from scientific researches	1. A list of scientific programs and projects with an indication of the source of financing, terms of implementation, amount of financing, co-executors/ partners; 2. Confirmation of registration of the research topic in the national center for scientific and technical information; 3. A copy of the agreement with a financing organization
2	Number of publications in Web of Science, Scopus, Springer	1. A list of publications with an indication of their output data, quartile of the journal and name of the database in which the journal is indexed 2. For each article, an actual web link is indicated to the publication page in the Web of Science, Scopus, Springer databases
3	Citation of scientific works	1. List of articles that have been published within the last 5 years, indicating the number of citations of each article in Web of Science (Web of Science), Scopus (Scopus), Google Scholar (Google Scular) in the reporting year 2. For each article, an actual web link to the page with a list of citations of this article is indicated
	Average Hirsch index of production personnel	1. A list of all employees from production personnel who have a Hirsch index with an indication of the value of the Hirsch index in Web of Science and Scopus
4	Number of patents and other titles of protection	2. A list of patents indicating the patent owner, the agency that issued the patent, the date of issue of the patent and the registration number 3. A copy of the certificate on the issuance of a patent (a certificate of a positive decision for issuance of a patent is not counted!) is attached 4. For a patent included in the Web of Science database, the current web link to the page in the Web of Science database is indicated

5	The level of commercialization of the results of scientific researches and innovation activities	<p>1. A list of commercialized technologies indicating the name and registration data (number and date) of the title of protection (which was issued within the last 3 years), the amount of profit received in the reporting year.</p> <p>2. A copy of a license agreement, an agreement on the transfer of patent rights, and other agreements between the patent holder and the person to whom the right to use the technology is transferred.</p>
6	Level of participation in international conferences and forums	<p>1. List of abstracts (articles) indicating the authors, date and place of the conference, the output of published abstracts, the database in which the collection is indexed</p> <p>2. For each thesis (article), an actual web link from the site of the scientific information database is indicated, which contains information about the indexed scientific collection.</p>
	The number of positions (rates) of production personnel on the last day of the reporting period (the indicator used to calculate the score for all indicators)	A table indicating the number of positions (rates) and the total number of production personnel, including in the context of individual categories of production personnel, certified by the signature of the first head of the organization being assessed.