

**Approved
by Decision of Board of
NJSC «National center for
children's rehabilitation»
24 May 2023 year
№4**

**Regulation
on scientific and innovative activity of non-commercial joint stock company
«National center for children's rehabilitation»**

Astana, 2023 year

1. Introduction

1. These Regulations about scientific and innovative activity of non-commercial joint-stock company “National center for children’s rehabilitation” (further- Regulation) developed in accordance with current Legislation of the Republic of Kazakhstan and determine procedure of planning, organization and implementation of non-commercial joint-stock company “National center for children’s rehabilitation” (further- Company).

2. These Regulation use following terms:

- 1) **grant maker** - grantor - a physical or legal person, providing funding for scientific and innovative studies under contractual conditions;
- 2) **the applicant** - is an investigator/group of investigators/O, initiating scientific and innovative project;
- 3) **application** - a document submitted for financing a scientific and innovative project in accordance with the requirements established by the grantor;
- 4) **intellectual property** - the right of an individual or legal entity to the results of intellectual creative activity;
- 5) **temporary labor collective** - a temporary voluntary association of individuals without the formation of a legal entity, created in order to implement specific scientific and innovative projects;
- 6) **research group** - is a group of researchers working together on the implementation of a scientific and innovative project;
- 7) **supporting group** - is a group of specialists providing organizational, legal, financial and economic support of projects;
- 8) **responsible group** - is the group of specialists that determines the contribution and the actual amount of work performed by each member of the temporary labor team;
- 9) **commercialization of the results of scientific activity** - activities related to the practical implementation and application of the results of intellectual creative activity in order to bring to the market new or improved products aimed to make a profit;
- 10) **local ethics committee** - an expert body consisting of medical, scientific specialists and representatives of the public, and carrying out bioethical expertise to guarantee the research participants and the company compliance with the rights, safety and health protection of the research participants;
- 11) **scientific activity** - intellectual creative activity aimed to obtain new knowledge about nature, man, society, artificially created objects and at using scientific knowledge to develop new ways of using them;
- 12) **innovative activities** - related to the expansion of existing and acquisition of new knowledge, aimed at the use and commercialization of the results of scientific research to expand and update the nomenclature and improve the quality of products (goods and services), improve the technology of its manufacture with the subsequent introduction and effective implementation in domestic and foreign markets;
- 13) **intellectual property objects** result of intellectual creative activity, including inventions, utility models, databases and other objects protected by

license, author's and (or) other contracts for the acquisition of rights to intellectual property objects concluded in accordance with the procedure established by law;

14) **experimental design and development work** - a set of works performed during the creation or modernization of products, the development of design and technological documentation for prototypes, the manufacture and testing of prototypes and utility models;

15) **Principal investigator** - an individual responsible for the preparation and implementation of a scientific project in accordance with the legislation governing scientific research;

16) **translational research** - methods and mechanisms for applying the results of scientific, medical, laboratory experimental studies in the clinic on the principle of "from the laboratory to the patient's bed";

17) the Scientific Council of the Company (hereinafter - Council) is the highest consultative and advisory body under the Company coordinating the development of scientific and innovative activities.

2. Principles of scientific and innovative activities

3. The scientific and innovative activities of the Company are based on the following principles:

- 1) transparency and fairness in the interaction of all participants in the process;
- 2) compliance with the principles of bioethics in the planning, organization and conduct of scientific research;
- 3) academic freedom when choosing the subject of research and forming your own conclusions;
- 4) compliance with the norms of scientific ethics in the planning, organization and conduct of scientific research.

3. Organization, planning and management of scientific and innovative activities in the Company

4. Management of scientific and innovative activities is carried out in accordance with the Charter of the Company and these Regulations. Leadership of specific scientific and innovative projects is carried out by Project Managers (Principal investigators).

5. Coordination and organizational support of the scientific and innovative activities of the Company is under the jurisdiction of a structural unit whose main task is to develop the scientific and innovative activities of the Company (hereinafter - Structural Unit).

6. Planning of scientific research in the Company is carried out in accordance with the main scientific directions that meet the interests and needs of the Company and in accordance with the priority directions of the development of science of the Republic of Kazakhstan.

7. In order to effectively plan scientific research in the Company, the Structural Unit searches for open tenders and grants for scientific projects,

developments announced by ministries, departments, funds, economic entities, etc. Information is communicated to potential researchers of the Company, after which applications for participation in competitions and grants are drawn up and submitted in accordance with the requirements established by the grantors.

8. The local ethics committee determines the validity of scientific and innovative research to protect the rights, dignity, safety and well-being of the study subjects (patients and volunteers) and researchers.

9. Implementation of scientific and innovative projects in the Company is carried out both by individual researchers and research groups. The research team consists of a Principal Investigator and members of the research team.

10. Review and approval of interim and final reports on the implementation of scientific and innovative projects is carried out by the Scientific Council of the Company.

11. The processes of initiation, planning, decision-making and implementation in the field of scientific and innovative activities in the Company are carried out in accordance with the Appendix to this Regulation.

4. УЧЕНЫЙ СОВЕТ

12. The activities of the Scientific Council (hereinafter - the Council) are aimed to coordinate the development of scientific and innovative activities of the Company, including the commercialization of the results of the implementation of scientific and innovative projects.

13. The structure of the Board shall be approved by order of the Chairman of the Board of the Company or an authorized official. The Council consists of the Chairman of the Council, Deputy Chairman of the Council, members of the Council, as well as the Academic Secretary of the Council. The Board consists of the Company's managers in charge of scientific and innovation activities, external and internal experts in the field of science and innovation.

14. The competence of the Board includes:

1) determination and formation of priority directions for the development of scientific and innovative activities of the Company;

2) coordination of programs and/or strategies for the development of scientific and innovative activities of the Company;

3) coordination of regulatory legal acts of the Company on issues of scientific and innovative activities;

4) review and approval of applications for scientific/innovative grants, including internal ones;

5) coordination and submission of candidates from the Society for the award of scientific titles, prizes, scholarships, awards in the field of science, as well as to the national academy, national scientific councils, etc.;

6) review and approval of reports of individual researchers/research groups on the implementation of scientific and innovative projects;

7) coordination of intellectual property issues, implementation/commercialization of scientific results;

8) review and approval of Good Scientific Research Practice standards, protocols, procedures; (Good Scientific Research Practice);

9) development of proposals on motivation of the Company's employees to scientific and innovative activities;

10) review and approval of the results of scientific and innovative activities (guidelines, manuals, monographs) for publication;

11) development of proposals for integration of clinical, educational and scientific activities of the Company;

12) exercise of other powers in accordance with these Regulations, internal documents of the Company, as well as in accordance with decisions of the Management Board of the Company.

15. The Council shall organize its work in accordance with the Work Plan of the Council for the current year. Direct management of the activities of the Council is carried out by its Chairman. He distributes responsibilities among members of the Council, gives them instructions within the framework of their competencies. The Council meets as necessary, but at least 1 every two months.

16. All members of the Board take part in the meeting, and the decision is made with a quorum of 2/3 of those present at the meeting. Decisions of the Board shall be taken by a simple majority of the members present except the Secretary of the Board. In case of equality of votes, the vote of the Chairman of the Council shall be decisive. Decisions taken at meetings of the Council shall be formalized in a protocol signed by the Chairman and the Scientific Secretary of the Council.

17. Powers of the Scientific secretary of the Council:

1) carries out preparatory work Board meetings;

2) informs the members of the Council of the date, time and place of the meeting at least three (3) business days in advance;

3) communicates the decisions of the Board to the concerned structural units of the Company;

4) requests information from members of the Council on compliance with the established deadlines and the implementation of decisions of the Council;

5) ensures document flow, preservation of documentation and technical support of the Council meetings;

6) keeps minutes of the Board meetings;

7) systematizes and prepares the received materials for consideration at the meeting of the Council;

8) generates summary information on the activities of the Scientific Council of the Company, decisions made and a report on the implementation of decisions to the Chairman of the Council at least 1 times a quarter.

18. Council members serve two-year terms. At the end of the term of office, members of the Board may be re-elected, but not more than three consecutive terms.

5. Temporary staff functions

19. The Principal Investigator (PI) is responsible for the preparation, conduct and management of the research and innovation project as part of the research team

in accordance with the legislation of the Republic of Kazakhstan and the requirements of the grantor.

20. PI when initiating a scientific and innovative project and applying for a scientific and innovative project, certifies that all information provided is reliable, complete and complies with the Company's policies and procedures.

21. PI is responsible for ensuring the achievement of intermediate/final results of scientific and innovative projects, targeted, efficient and optimal use of budgetary funds allocated for the conduct of scientific and innovative projects in accordance with the terms of reference, timely reporting and other commitments made for the implementation of scientific innovative projects, as well as for the preferred commercialization of the results of scientific and innovative activities.

22. PI shall be a full-time employee of the Company with professional and scientific experience within the scope of the stated theme.

23. The competence of PI includes:

- 1) preparation of an application for a scientific/innovative project;
- 2) formation of the structure of the temporary labor collective for the implementation of a scientific innovation project;
- 3) lead the research team;
- 4) development of the scientific/innovative project schedule;
- 5) together with the specialists of the support group, drawing up a budget for a scientific/innovative project and drawing up a plan for the development of funds allocated for the implementation of the project;
- 6) organization of research work in accordance with the schedule of the scientific innovation project;
- 7) providing the research team with the necessary resources to carry out a scientific innovation project;
- 8) definition of job duties of the research team members;
- 9) control over the execution of work and documentation of a scientific innovative project;
- 10) validation and acceptance of primary documents, written interim reports of the research team members, which are the basis of the final report on the implementation of the scientific innovation project;
- 11) disclosure of an actual or potential conflict of interest;
- 12) state registration, preparation of intermediate/final reports on the implementation of the scientific innovation project and their submission for consideration by the Scientific Council of the Company;
- 13) ensuring the storage of primary and reporting documents related to the activities of the research group for a period determined by the grantor, or for at least five years after the completion of the project;
- 14) carrying out other actions in the interests of fulfilling project tasks in accordance with the legislation.

24. During the project implementation period, the temporary labor collective has the right to use the Company's equipment, information, materials, literature and other resources required for the implementation of a scientific innovative project. Expenses for the purchase of additional equipment, as well as consumables and

services of third-party organizations, are included in the project cost estimate and additionally purchased at the request of PI in the manner established by the requirements of the grantor and internal regulatory documents of the Company.

25. For the period of implementation of the scientific/innovative project, a temporary labor collective is formed, which operates on the basis of the existing structural divisions of the Company and ceases to operate upon completion of the project.

26. The main tasks of the temporary labor collective include:

- 1) ensuring timely and high-quality scientific/innovative projects;
- 2) ensuring the effective use of funds allocated for the implementation of scientific/innovative projects;
- 3) ensuring timely and high-quality preparation of reporting materials on the implementation of scientific/innovative projects.

27. The structure of the temporary labor collective and the period of its functioning with a detailed calendar plan shall be approved by the Chairman of the Management Board of the Company or an authorized official, in agreement with the Scientific Council of the Company after confirmation of funding by the grant giver (contract, agreement, assignment, etc.).

28. The research team includes researchers with a doctorate degree or Ph.D., an academic Ph.D. or master's degree, may include researchers from third-party organizations, specialists with higher and secondary education, with appropriate qualifications and sufficient experience in conducting research. At the same time, the share of employees of third-party organizations should not exceed 50% of the total number of members of the research group.

29. Inclusion of the Company's employees in the temporary labor collective is carried out in agreement with their immediate supervisor and should not be carried out to the detriment of the main labor activity of employees.

30. The structure of the temporary labor collective may change depending on the needs of the project tasks based on the minutes of the meeting of the temporary labor collective in agreement with the Scientific Council of the Company.

31. PI change is agreed with the service customer (grant provider) and may occur in the following cases:

- 1) completion of the project manager's employment relationship with the Company;
- 2) admission of the project manager to study;
- 3) other exceptional cases that may hinder the implementation of the tasks of the scientific project/program (for example, maternity leave, absence for health reasons).

32. The structure of the temporary labor collective at the initiative of PI shall be changed as follows:

- 1) submission of a memo on amendments to the existing order of the Chairman of the Management Board or an authorized official of the Company with a request for inclusion or exclusion with justification of the need for amendments;
- 2) issuing an order of the Chairman of the Management Board or an authorized official of the Company on amending the existing order.

33. Determination of the scope of work and distribution of responsibilities among members of the research team, taking into account their level of knowledge, experience and qualifications, is carried out on the basis of a protocol on the distribution of work between members of the research team.

34. The structure of the responsible group for determining the scope of work performed is approved by the Chairman of the Management Board. On the basis of the approved schedule, the protocol on the distribution of work between the members of the research group, intermediate and final reports on the implementation of scientific and innovative projects, the responsible group forms acts on the actual volume of work performed by each member of the temporary labor collective. The report on the work performed by the temporary labor collective shall be approved by the Chairman of the Management Board of the Company.

35. All material assets (equipment, consumables, etc.) acquired by the Company in order to support the activities of the temporary labor collective are assigned to the corresponding structural unit (s) and belong to the Company. The specified material assets can be used only for the purposes of implementing a scientific innovation project, and are subject to accounting in accordance with the accounting rules adopted by the Company.

36. The funds allocated by the grantor should be used to implement the project. Expenses for the implementation of scientific innovative projects are made according to the budget.

37. The temporary labor collective is paid on a quarterly basis on the basis of certificates of work performed in accordance with the calendar plan. In case of other financing schedule by the external grant-giver, the temporary labor collective is paid according to the financing schedule of the external grant-giver.

38. The provision of additional payments, bonuses and other payments to employees who are in labor relations with the Company for the performance of additional work as part of a temporary labor collective cannot be considered as a basis for refusing to provide benefits and guarantees at the main place of work (main position) established by labor legislation and internal regulatory documents of the Company governing remuneration issues.

39. Temporary labor collective ceases to operate:

1) after the expiration of the project for which it was created, if no decision was made to continue the project;

2) in the event of a situation when the further functioning of the temporary labor collective is impractical by the decision of the grantor;

3) on the fulfillment of contractual obligations in full until the end of the established project implementation period.

40. The termination of the activity of the temporary labor collective is approved by order of the Chairman of the Management Board of the Company or an authorized official on the basis of the protocol decision of the temporary labor collective and the approval of the Scientific Council of the Company.

6. Confidentiality and protection of intellectual property rights

41. When carrying out scientific and innovative activities, the researchers of the Company must observe the confidentiality of documents, materials, information regarding the results of the project before the official publication.

42. When carrying out a scientific/innovative project, during or as a result of which it is planned to create intellectual property objects, the Company's employees shall act in the interests of the Company, ensure the protection of the Company's exclusive property rights to intellectual property objects in accordance with the internal standards of the Company and the legislation of the Republic of Kazakhstan.

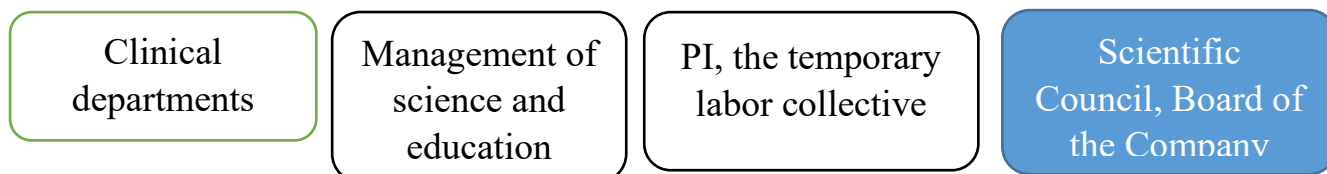
7. Final provisions

43. This Regulation shall enter into force upon its approval by the Management Board of the Company.

44. The structural subdivision is responsible for development and timely introduction of amendments to this Regulation.

45. Amendments and/or supplements to these Regulations shall become effective upon approval by the Board of the Company.

Scientific and Innovation Process Map



<ul style="list-style-type: none"> • Initiators can be: • Heads of structural units: • Employee of the Company, who have professional and scientific experience in the stated theme. • Internal review process: • relevance of the initiated topic; • scientific novelty and practical significance. 	<ul style="list-style-type: none"> • Search for grants • monitoring of Kazakhstan and international markets on an ongoing basis in order to identify competitions for scientific projects. • Preliminary assessment (examination) with the involvement of co-executors, specialized specialists: • assessment of goals; • feasibility assessment; • estimate scope and resources; • assessment of risks and deadlines. 	<ul style="list-style-type: none"> • Approval/rejection of the application for the scientific project. • Coordination of the research team. • Implementation monitoring scientific/innovative projects. • Review progress reports scientific/innovative projects. • Other functions provided by Position. 	<ul style="list-style-type: none"> • Management processes. • Report processes. • Termination processes. • Results distribution processes.
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