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### **Assessment of the mechanisms of regulation of innovative activity in the system of global competitiveness**

**Annotation.** *Rapidly changing trends in development of the countries' economies require rational approach to regulation of innovative activity and investments directed to organization of real economy sector. At the same time, for analysis of current state policy in innovative development system fully it takes to assess effectiveness of regulation innovative activity mechanisms in the economy of Kazakhstan. In this article an assessment of mechanisms of innovative activity regulation in Kazakhstan in global system of competitiveness is carried out. For this purpose, an expert assessment system is used, which is realized as method of Global Competitiveness Index of World Economic Forum (WEF). The authors investigate ranking of WEF in Kazakhstan economy, in particular, assessment of carrying out of country's innovative activity. Thus, purpose of research is to assess mechanisms of innovative activity regulation in Kazakhstan in a global system of competitiveness. Methodology – synthesis, content-analyze, accommodation, monographic method, factor analysis, economic-statistical research method. Carried out assessment of mechanisms of innovative activity regulation in Kazakhstan in global system of competitiveness allowed fully assess effectiveness of regulation innovative activity mechanisms in economy. Researching subindices of International rating of World Economic Forum for 2017-2018 in relation to 2013-2014 authors noted that in Kazakhstan today there is decrease in all subindices of rating and factors (“Basic requirements”, “Business sophistication”), except for “Innovation” subindex. This subindex was significantly decreased due to sharp deterioration in macroeconomic environment, which is directly related, in opinion of authors, to significant losses in revenues from oil export. This in turn affected deterioration of budget's indicators. There is special attention to place and role of innovative activity regulation in country's socio-economic policy. Organizational-methodological problems during realization of innovative policy in Kazakhstan are also in details investigated, which makes it necessary to solve them in order to achieve innovative policy's efficiency at regional and national levels.*

**Keywords:** *expert assessment system, innovative activity, method of the Global Competitiveness Index of the World Economic Forum, global system of competitiveness*

**Introduction.** Rapidly changing trends in the development of economies require a rational approach to the state regulation of innovation and investment directed to the organization of the real sector of the economy.

For the analysis of modern state policy in the system of innovative development, it is fully necessary to assess the effectiveness of mechanisms of state regulation of innovative activity in the economy of the Republic of Kazakhstan in the world system of competitiveness.

Assessment of the mechanisms of state regulation of innovative activity in the Republic of Kazakhstan in the global system of competitiveness allow fully assess the effectiveness of state regulation mechanisms of innovative activity in the economy.

For this purpose, it is possible to use the expert assessment system, which is realized as method of the Global Competitiveness Index of the World Economic Forum (further GCI WEF).

**Materials and Methods.** The authors investigate the ranking of WEF in economy of the Republic of Kazakhstan, in particular, assessment of the carrying out of innovative activity in the country. In accordance to the WEF, competitiveness is the set of factors that determine the level of labor productivity in separate countries and, thereby, the level of the country's development level that is possible to achieve in the economy [1].

The most competitive is the economy, which is growing faster both in the medium and long term.

In recent years, the state has realized certain systemic measures to form the innovative system in a full-fledged form and supported a number of initiatives in this sphere.

Within a relatively short period of time, a number of these measures have been realized, certain positive results have been achieved, which is reflected in the increase of main indicators of realization of innovative activity according to the assessment of the WEF (table 1).

In the rating of the WEF for 2017-2018, the Republic of Kazakhstan has 57th place, having reduced by seven positions in comparison with 2013-2014. Throughout 2013-2017, the positions of the Republic of Kazakhstan were relatively stable. Moreover, according to the results of the 2015-2016 rating, Kazakhstan made a breakthrough and reached the 42nd place, raising its rating by 8 points compared to 2014. It should be noted that this result is the best in the history of participation of the Republic of Kazakhstan in the rating of the WEF.

Table 1. – Current positions of Kazakhstan in the rating of the WEF

Indicators of the Republic of Kazakhstan in the rating of the WEF	2013-2014	2014-2015	2015-2016	2016-2017	2017-2018	Deviation to 2012-2013, positions, +/-
Number of countries in the WEF ranking	148	144	140	138	137	-
General Global Competitiveness Index	50	50	42	53	57	-7
Subindices:						
Basic requirements	48	51	46	62	69	-21
Effectiveness factors	53	48	45	50	56	-3
Factors of innovative development, including:	87	89	78	76	95	-8
Business sophistication	94	91	79	97	108	-14
Innovation	84	85	72	59	84	-
Note – Compiled by the authors based on sources [2, 3, 4, 5, 6]						

However, in 2017-2018, according to the rating results, the Republic of Kazakhstan had 57th place, having decreased by 4 positions in comparison with the previous period.

Considering the subindices of the rating in relation to 2013-2014, it can be noted that in Kazakhstan today there is the decrease in all subindices of the rating and their factors (“Basic requirements” and “business sophistication”), except for the “Innovation” subindex.

This subindices were significantly decreased due to sharp deterioration in the macroeconomic environment, which is directly related, in opinion of the authors, to significant losses in revenues from the export of oil, which affected the deterioration of the state budget’s indicators.

The rating is based on 12 factors that are institutions, infrastructure, macroeconomic environment, health and primary education, higher education and training, goods market efficiency, labor market efficiency, financial market development, technological readiness, market size, business sophistication, innovation.

It was outlined that Kazakhstan has achieved improvement in indicators such as health and primary education, higher education and training, technological readiness and market size.

Thus, on the factor “Health and primary education” the position of Kazakhstan has improved from 94th to 59th place mainly due to the improvement of statistics on primary education coverage. According to the factor “Higher education and training” Kazakhstan’s position increased from 57th to 56th place. Eight Kazakhstan universities entered the ranking of the best universities in the world QS (Quacquarelli Symonds World University Rankings), four of them are in the TOP 500.

At the same time, international rating agencies “Standard&Poors”, “Moody’s” and “Fitch” have assigned Kazakhstan a “stable” rating. Besides, there are slight declines in a number of indicators, which are directly related to the weakening of the macroeconomic environment and the development of the financial market.

In addition, in 2018, the ranking was led by the United States of America, which has held a leading position for the past five years. Following the USA are Singapore, Germany, Switzerland and Japan [7].

As noted in the 2018 GIK WEF report 2018, Kazakhstan took 59th place with an average score of 61,8 and remained in the same position as last year. Improvement occurred on 5 factors out of 12. The rating was downgraded by 4 factors and the positions remained unchanged by 3 factors. Of the 98 indicators, improvement occurred on 50 factors, there were no changes on 14 indicators.

In 2018 the Republic of Kazakhstan has taken the third place among all CIS countries, giving up only to Russia (43rd place), but at the same time, ahead of such countries as:

- Armenia (70th place);
- Georgia (65th place);
- Azerbaijan (69th place);
- Ukraine (83rd place);
- Moldova (88th place);
- Kyrgyz Republic (97th place);
- Tajikistan (102nd place).

At the same time, the countries such as Uzbekistan, Belarus and Turkmenistan didn’t participate in the rating of the WEF in 2018.

According to the information provided by the GEF VEF in 2016-2017, the Republic of Kazakhstan has moved from the category of the transition group of countries that are driven by “production factors” and “management effectiveness” (group 1-2) to the higher-ranking group of countries that are located between countries, driving by “management effectiveness” and “innovations” (group 2-3).

In 2016-2017, there is opposite tendency - the transition to the group of countries located between the countries “Economy driven by factors” and “Economy, driven by efficiency” (figure 1).

Economy driven by factors (group 1)	Transition level (group 1-2)	Economy driven by efficiency (group 2)	Transition level (group 2-3)	Economy driven by innovations (group 3)
35 countries: Kyrgyzstan Moldova India Ghana Bangladesh Yemen Mali Tajikistan Other	17 countries: Algeria Azerbaijan Kazakhstan Bolivia Russia Kuwait Honduras Ukraine Philippines Vietnam Other	30 countries: Armenia Bulgaria Brazil China Paraguay Romania Indonesia Morocco Serbia Other	19 countries: Argentina Chile Hungary Latvia Lithuania Malaysia Poland Turkey Others	37 countries: Australia Austria Finland France Germany Estonia Japan South Korea USA Norway Switzerland Other

The transition from group (2-3) to group (1-2)  
 Note – Compiled by the authors based on source [5]

Figure 1 – Information of the GCI WEF for 2016-2017

This group is also composed the countries such as Algeria, Azerbaijan, Russia, Ukraine, the Philippines, etc. (total 71 countries).

The stages of development of the country are determined by the level of GDP per capita and the degree of conditionality of the country by the basic factors.

It should be noted that in Kazakhstan the structure of production largely consists of products from the extractive industry [8].

About 70 % of the total potential of industry and export is the oil and gas sector, which is proof of the country's direct dependence on raw materials and it doesn't provide opportunity to attribute the economy of the Republic of Kazakhstan to the group of countries that are on a higher development position.

At the same time, the total number of countries that participate in the rating of the WEF changes yearly.

In addition, according to the analysis, in obedience to the indicator such as "Patent activity", there is a worsening of positions in 2017-2018 compared to 2013-2014 (68th place, -1 position), and the negative trend for this indicator continues, starting from 2010 year.

At the same time, the formation and realization of innovations is one of the leading factors in the growth of the country's competitiveness [Foster, R. Innovation].

The indicator "PCT patent application / million populations" is also the indicator of efficiency throughout the system of development and research. The number of patents received by the country testifies to the scope of the performed scientific research, and also demonstrates their effectiveness.

However, the low ratings for this indicator in the "Innovation" factor demonstrate the insufficiently high level of technological development of the state, which underlines the country's growing dependence on foreign developments and technologies.

So, in 2016, China (38.1 %) and the USA (20.4 %) submitted the largest number of international patent applications through the World Intellectual Property Organization (further WIPO) at the United Nations (further UN).

This, according to WIPO data, is the seventh record in the conditions of WIPO's overall increase in managed global systems in the protection of intellectual property (further IP). Then it is followed Japan – 11.0 %, South Korea – 7.4 % and the European Union – 5.5 % (European Patent Office).

In 2016-2017 the distribution on developed clusters is deteriorating in comparison with 2015-2016 year (119th place, -4 positions).

Results. The deterioration in the state of cluster development indicator by 4 positions in the factor "Business sophistication" in comparison with the previous period indicates that the system-wide measures in this area aren't being used effectively enough, including, improving legislative measures in the business

environment, solution of problems of staffing and creating infrastructure elements, realizing specific investment projects.

Even in comparison with 2012-2013, this indicator decreased by 9 points, which indicates the need to take the necessary measures in this direction.

Because there is no single model for establishing the necessary and rational structure of organized cluster, extensive and complete research of cluster complexes is necessary. Many cities and territories have created their own strategies for cluster development.

Typical for all these clusters was the fact that their functioning was organized on base of partnership positions and focused on the commercialization of research-scientific works and innovative component in order to achieve success in global competitiveness [9, p. 115].

In this regard, it is possible to emphasize the significant configurations in the state innovative policy:

- direct budgetary assistance in the creation and commercialization of new technologies;
- indirect assistance in the form of tax policy and administrative regulation;
- investment in the education system;
- assistance to the significant factors of the economic infrastructure that are necessary for the rapid promotion of innovations;
- stimulating interaction between research institutes and the industrial sector through simplifying the administrative regulation of innovative programs.

Thus, in most countries of the world last time active process for the formation of clusters has taken place.

Cluster approaches allow considering as a “point of growth” of the region not a single enterprise, but the whole set of interconnected enterprises [10]. Enterprises that are members of the cluster have the opportunity to work together and effectively use human, financial and other resources.

Thus, owing to the cluster it is generated a certain synergistic effect, as a result of which the cluster potential exceeds the sum of all the potentials of the elements entering into it.

In the Republic of Kazakhstan, in our opinion, the formation of cluster is aimed at creating the necessary conditions for the development of competitive production in the non-raw materials sector of the economy.

In 1992-2016 in the Republic of Kazakhstan, The National Institute of Intellectual Property (further NIIP) issued more than 30 thousand documents protecting the right of IP.

National inventions include technologies in construction, metallurgy and pharmacology. In addition, over the last period, Kazakh scientists are increasingly beginning to work in the field of software and microelectronics.

However, for a number of characteristics, NIS of Kazakhstan lags behind innovative systems in foreign countries.

In general, based on the considered indicators, the following main differences between NIS of Kazakhstan and NIS of developed countries can be noted. For 2012-2016 in Kazakhstan, the total increase in issued protection documents for IP objects, according to the NIIS data, was 43.3 %.

At the same time, the main share of registered objects is trademarks (84.2 % in 2016). It should be noted that high activity among foreign applicants has been maintained for the last five years (70 % in 2016).

Despite the increase in the Republic of Kazakhstan of issued protection documents in recent periods, the receipt of patents for inventions, copyright protection today is one of the most actual problems for the science of Kazakhstan. Only insignificant part of patents in Kazakhstan is approved in the patent offices of the USA, Japan, as well as the European Patent Office. In opinion of the authors, the main problem is the discrepancy of applications to the principles of novelty.

So, many developments, priority at the international level 3-5 years ago, have lost their novelty. In addition, for individuals or legal entities in Kazakhstan, due to their low patent literacy and the legal status in the sphere of IP, patenting abroad is often a very burdensome process.

This situation developed during the Soviet time and is still not overcome, although there is a tendency to increase the number of patents in the country.

As a result, despite unchanged positions over the last five years according to such factor as “Innovation” (84th place), positions of Kazakhstan’ continue to be weak, which is intensified by the deterioration of most indices on the factor “Business sophistication” (108th place, -14 positions).

Discussion. For Kazakhstan, which is striving to drive to the third group “Economy, driven by innovation”, the impact of these components on total rating of the country is significant according to the following reasons:

- regardless of the stage of development, the introduction of innovations increases competitiveness and productivity in any market;
- in order that the country received benefits from the use of these or those technologies, they should be mainly developed within the country (the ability to produce independently technological innovations is more important than the ability to adapt technology from abroad).

This is confirmed by the example of the USA, which is annually included in the number of leaders in the factor of “Innovation” (4th place in 2016-2017).

The companies of this country are highly innovative, supported by effective system of universities, which are closely connected with the private sphere in the realization of R&D.

Combining the scales of opportunities that are represented by the volume of the market, these factors allow to make the USA economy more competitive in the world scene.

As a consequence, there are no connections between entrepreneurs and researchers (60th place in 2018 from 140 countries according to the WEF rating). In addition, the mechanism of approbation and introduction of created technologies at industrial enterprises doesn't function.

Conclusion. As a result, the authors can conclude that the NIS in the Republic of Kazakhstan doesn't fully create conditions for the introduction of R&D, developed by scientists of the country.

It is complex cross-sectoral cooperation and coordination of science, business and the state in the realization of the priority directions in the technological development. There is no long-term planning in the creation of business incubators, special research zones, science cities, technology parks, etc. As a result there are unexamined expensive projects, the lack of results in the realization of innovative activity, ineffective state expenses.

The lack of demand for R&D in business as a result affects negatively the provision of opportunities for scientists and researchers to receive higher wage, which may lead, in opinion of the authors, to the outflow of qualified personnel, especially young scientists, from scientific sphere. In addition, effective system of measures to stimulate demand for science hasn't yet been developed.

In this regard, at this stage, the state order is the main source for financing the realization of applied research and carrying out fundamental research.

The inadequacy of financing in the scientific sector (the share of science expenses in GDP is 0,13 % during 2012-2017) doesn't provide an opportunity to increase the science intensity in the national economy.

In this turn, the development of effective NIS should be based on highly qualified scientific and technical personnel, modern scientific and technological base, stable market demand for the results of scientific and innovative activity, mechanism for the protection of IP rights.

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### ***Жаһандық бәсекеге қабілеттілік жүйесіндегі инновациялық қызметті реттеу механизмдерін бағалау***

*Көптеген елдердің экономикасын тез өзгертін даму үрдістері инновациялық қызметті және экономиканың нақты секторын ұйымдастыруға бағытталған инвестицияларды мемлекеттік реттеу үшін ұтымды тәсілді талап етеді. Сонымен қатар, инновациялық даму жүйесіндегі қазіргі заманғы мемлекеттік саясатты талдау үшін Қазақстан Республикасы экономикасындағы инновациялық қызметті мемлекеттік реттеу механизмдерінің тиімділігін толық деңгейде бағалау қажет. Осыған байланысты, мақалада бәсекеге қабілеттіліктің әлемдік жүйесінде Қазақстан Республикасындағы инновациялық қызметті мемлекеттік реттеу механизмдерін бағалау жүргізілген. Осы мақсатта сараптамалық бағалау жүйесі пайдаланылып, Дүниежүзілік экономикалық форумның (ДЭФ) Жаһандық бәсекеге қабілеттілік индексінің әдістемесі түрінде іске асырылды. Қазақстан Республикасының экономикасы бойынша ДЭФ рейтингіне, елдегі инновациялық қызметті жүзеге асыруды бағалауға зерттеу жүргізілді. Осылайша, зерттеудің мақсаты бәсекеге қабілеттіліктің жаһандық жүйесіндегі Қазақстан Республикасындағы инновациялық қызметті мемлекеттік реттеу тетіктерін бағалау болып табылады.*

*Зерттеу әдістемесі – синтез, контент-талдау, аккомодация, монографиялық әдіс, факторлық талдау, зерттеудің экономикалық-статистикалық әдісі. Бәсекеге қабілеттіліктің жаһандық жүйесінде Қазақстан Республикасында инновациялық қызметті мемлекеттік реттеу тетіктеріне жүргізілген бағалау экономикадағы инновациялық қызметті мемлекеттік реттеу тетіктерінің тиімділігін толық шамада бағалауға мүмкіндік берді.*

*Авторлар Дүниежүзілік экономикалық форумның халықаралық рейтингінің 2017-2018 ж.ж., 2013-2014 жылдарға қатысты субиндекстерін зерттей отырып, «инновация» субиндексін қоспағанда, Қазақстанда рейтингтің барлық субиндекстерінің және рейтинг факторларының («Негізгі талаптар» және «Бизнестің күрделілігі») төмендегені байқалады деген қорытындыға келді. Субиндекс макроэкономикалық конъюнктураның күрт нашарлауына байланысты айтарлықтай төмендеді, бұл авторлардың пікірінше, мұнай экспортынан түсетін кірістердің айтарлықтай шығындарына тікелей байланысты. Бұл, өз кезегінде, мемлекеттік бюджет көрсеткіштерінің нашарлауына әсер етті.*

Мақалада елдің әлеуметтік-экономикалық саясатындағы инновациялық қызметті мемлекеттік реттеудің орны мен рөліне ерекше назар аударылды. Қазақстан Республикасында инновациялық саясатты әзірлеу және іске асыру кезіндегі ұйымдастыру-әдістемелік проблемалар егжей-тегжейлі зерттелді, бұл оларды өңірлік және ұлттық деңгейлерде инновациялық саясаттың тиімділігіне қол жеткізу үшін шешуді қажет етеді.

**Түйін сөздер:** сараптамалық бағалау жүйесі, инновациялық қызмет, Бүкіләлемдік экономикалық форумның бәсекеге қабілеттілігі жаһандық индексінің әдісі, бәсекеге қабілеттіліктің әлемдік жүйесі.

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### **Оценка механизмов регулирования инновационной деятельности в системе глобальной конкурентоспособности**

Быстро меняющиеся тенденции развития экономик стран требуют рационального подхода к государственному регулированию инновационной деятельности и инвестиций, направляемых в организацию реального сектора экономики. Вместе с тем для анализа современной государственной политики в системе инновационного развития необходима оценка эффективности механизмов регулирования государством инновационной деятельности в экономике Республики Казахстан. В данной статье проведена оценка механизмов государственного регулирования инновационной деятельности в Республике Казахстан в мировой системе конкурентоспособности. С этой целью использована система экспертных оценок, которая реализована в виде методики Глобального индекса конкурентоспособности Всемирного экономического форума (ВЭФ). Проведено исследование рейтинга ВЭФ по экономике Республики Казахстан, в частности, к оценке осуществления инновационной деятельности в стране. Таким образом, целью исследования является оценка механизмов государственного регулирования инновационной деятельности в Республике Казахстан в глобальной системе конкурентоспособности.

Методология исследования – синтез, контент-анализ, аккомодация, монографический метод, факторный анализ, экономико-статистический метод исследования. Проведенная оценка механизмов государственного регулирования инновационной деятельности в Республике Казахстан в глобальной системе конкурентоспособности позволила в полной мере оценить эффективность механизмов государственного регулирования инновационной деятельности в экономике. Исследуя субиндексы международного рейтинга Всемирного экономического форума за 2017-2018 годы по отношению к 2013-2014 годам, авторы пришли к заключению, что в Казахстане сегодня наблюдается снижение всех субиндексов рейтинга и их факторов (“основные требования” и “сложность бизнеса”), за исключением субиндекса “инновации”. Этот субиндекс был существенно снижен в связи с резким ухудшением макроэкономической конъюнктуры, что напрямую связано, по мнению авторов, со значительными потерями доходов от экспорта нефти. Это в свою очередь сказалось на ухудшении показателей государственного бюджета.

В статье особое внимание обращено на место и роль государственного регулирования инновационной деятельности в социально-экономической политике страны. Детально исследованы организационно-методические проблемы при разработке и реализации инновационной политики в Республике Казахстан, что делает необходимым их решение для достижения эффективности инновационной политики на региональном и национальном уровнях.

**Ключевые слова:** система экспертных оценок, инновационная деятельность, методика Глобального индекса конкурентоспособности Всемирного экономического форума, мировая система конкурентоспособности.