 <b>SATBAYEV UNIVERSITY</b>	<b>NON-PROFIT JOINT STOCK COMPANY «KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY NAMED AFTER K.I.SATPAYEV»</b>		
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## **RULES**

**credit technology training  
in the Kazakh National Research Technical  
K.I. Satpayev University (PhD doctorate)**

**R 029-03-02-04.01.03.1.06- 2022**

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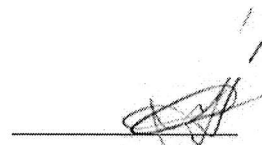
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## 1 General provisions

1.1 Planning and implementation of the educational process of students in doctoral PhD is carried out on the basis of credit technology of training in accordance with the State general mandatory standards of higher and postgraduate education.

The objectives of PhD or PhD programmes are:

- creation on the basis of integration of education and science of an effective system of training of scientific, scientific and pedagogical personnel of a new formation capable of solving the issues of improvement of society, economy, production, science and development of new technologies;

- the harmonization of domestic technologies for the training of scientific and pedagogical personnel of higher qualification with world standards, as well as ahead of the solution of issues of their scientific, methodical, legal, financial and economic, personnel and logistics;

- implementation of the educational process in accordance with the principles of international practice of training of scientific and pedagogical personnel of higher qualification, competitive in the modern labour market. To this end, the student passes the course of theoretical training and carries out an independent original scientific research, characterized by significant relevance and practical significance. The results of the study are formed in the form of a doctoral dissertation, the protection of which takes place in the established order.

1.2 The objectives of PhD doctoral programs are to prepare domestic doctors who are competitive both domestically and internationally, to integrate national doctoral programs into the world educational space.

## 2 Normative documents

- Law of the Republic of Kazakhstan «On Education» from 27.07.2007 319-III;

- Law of the Republic of Kazakhstan «On science» 18.02.2011. 407-IV;

- The Model Rules of Activity of Educational Organizations of appropriate types, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan 595 from 30.10.2018. ;

- Rules of organization of educational process on credit technology of training, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan 563 from 12.10.2018. (in the version of the order of the Minister of Education and Science of the Republic of Kazakhstan from 06.05.2021 207) ;

- Rules of organization and implementation of educational and methodical and scientific-methodical work, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan 488 from 27.07.2015. (in the Order of the Minister of Education and Science of the Republic of Kazakhstan from 28.09.2018 507) ;



– Rules of granting academic holidays to students in educational organizations, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan 506 from 04.12.2014. (in the edition of the Order of the Minister of Education and Science of the Republic of Kazakhstan from 26.07.2021 367) ;

– Rules for the appointment, payment and size of state scholarships to students in educational organizations, approved by Resolution 116 of the Government of the Republic of Kazakhstan from 07.02.2008. (in the revision of the Government of the Republic of Kazakhstan from 03.09.2021 612) ;

– State standard of higher and postgraduate education, approved by order of the Minister of Science and Higher Education of the Republic of Kazakhstan from 20.07.2022. 2;

– Concept of academic mobility of students of higher educational institutions of the Republic of Kazakhstan (discussed and approved at the meeting of rectors within the expanded Board of the Ministry of Education and Science of the Republic of Kazakhstan from 19.01.2011. ;

– Model rules for admission to training in the educational organization, implementing educational programs of higher and postgraduate education, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan of October 31, 2018 600. (in the draft order. Министра науки и высшего образования РК от 20.07.2022 № 3);

– The rules of granting degrees, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31.03.2011, 127. (in the edition of the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 09.03.2021 98) ;

– Rules for sending a specialist to work, granting the right to self-employment, exemption from duty or termination of duty to work by citizens trained on the basis of a state educational order, approved Resolution of the Government of the Republic of Kazakhstan 390 from 30.03.2012. (in the revision of the Resolution of the Government of the Republic of Kazakhstan from 01.06.2021 365);

– Model Regulation on the Dissertation Council, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan 126 dated 31.03.2011. (in the edition of the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 09.03.2021 98) ;

- Internal normative documents of K.I. Satpayev KazNRTU. KazNRTU 718 documented procedure - Academic mobility

<https://official.satbayev.university/ru/2-uroven-dp-kaznitu>

### 3 Abbreviations, Terms and Symbols

GPA	Grade Point Average (GPA)
EP	Education programme
EG	Educational group
CC	Customized curriculum
SU, KazNITU, University	NPJSC «Kazakh National Research Technical University named after K.I. Satpayev»
BL	Blended Learning
MSYE RK	Ministry of Science and Higher Education of the Republic of Kazakhstan
MOEC (MOS)	Massive Open Online Course
DRW	Doctoral research work
IDW	Independent doctoral work
IWDS	Independent work of a doctoral student under the guidance of a teacher
DC	Dissertation Council
RO	Registrar's office
WC	Work curriculum
OHPE	Organization of higher and (or) postgraduate education

#### The following basic concepts are used in these Regulations:

Academic Calendar (Academic Calendar)	Calendar of educational and control events, professional practices during the school year, indicating days of rest (holidays)
Sabbatical year (Academic leave)	The period during which students in educational institutions (students, students, undergraduates, adjutants, cadets, students and doctoral students) temporarily interrupt their training in Medical evidence and in other exceptional cases.
Academic period (Term)	Theoretical training period: 15 weeks semester
Academic hour (Class period)	Unit of measurement of the volume of teaching or other educational work, 1 academic hour equal to 50 minutes, used in the preparation of the academic calendar (timetable of the educational process), the timetable of training sessions, in the planning and accounting of the educational material, as well as in the planning of the teaching workload and account for the work of the teacher;



Academic credit  
(Academic credit)

Unified unit for measuring the volume of scientific and (or) educational work (load) of the student and (or) teacher;

Academic mobility  
(Academic mobility)

Transfer of students or Research professors to teach or conduct research for a certain academic period (semester or academic year) at another university (domestic or foreign) with mandatory re-application of the completed curricula, disciplines in the form of academic credits in their university or for continuation of studies in another university;

Rating-rating system for evaluation of academic achievements  
(Score-rating letter system for evaluating academic achievements)

A system for assessing the level of educational achievement in points corresponding to the internationally accepted alphabetical system with digital equivalence and allowing the establishment of a rating of students;

Graduate doctoral department  
(Graduation-dealing department)

Department providing training and graduation of doctoral students on OT

Doctoral program  
(Doctoral studies)

Doctoral studies - postgraduate education, the educational programs of which are aimed at the training of personnel for scientific, pedagogical and (or) professional activities, with the award of the degree of Doctor of Philosophy (PhD) (Doctor in profile) with a mandatory mastery of at least 180 academic credits;

Doctoral student  
(doctoral student)

Doctoral student

Doctoral thesis  
(Doctoral thesis)

scientific work of a doctoral student, which is an independent study, in which developed theoretical provisions, the aggregate of which can be described as a new scientific achievement, or solved a scientific problem, or set out scientifically based technical, economic or technological solutions;

Doctor of Philosophy (PhD)  
(Doctor of Philosophy)

the degree awarded to persons who have mastered the doctoral program in the scientific and pedagogical direction and who have defended a dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the procedure established by the legislation of the Republic of Kazakhstan;

Doctor on the profile  
(Doctor in profile)

the degree awarded to persons who have mastered the doctoral program in the relevant field of professional activity and who have defended a dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the procedure established by the legislation of the Republic of Kazakhstan;

European System of Transfer (Transfer) and Credit Accumulation ECTS - European System  
transfer and credit accumulation

The method of transferring loans received by a student abroad into credits that count towards obtaining a degree upon their return to their organization of education, as well as the accumulation of credits in educational programmes;

Enrollment Course Entry (Enrollment)

The procedure of registration of students for educational disciplines;

Competency  
(Competencies)

Ability of students to apply the knowledge, skills and skills acquired in the process of training in professional activities



Кредит (Credit hour)	Unified unit for measuring the learning workload of the student/teacher. One credit is equal to 1 academic hour of classroom contact work of the student during the academic period. Each classroom hour is accompanied by 2 hours (100 minutes) SRD.
Credit Technology Training (CTO) (Credit technology training)	Training on the basis of choice and independent planning of the student sequence of studying disciplines and (or) modules with accumulation of academic credits;
Module (Module)	Autonomous, completed in terms of educational results, structural element of the educational programme, having clearly defined acquired knowledge, skills, competencies and adequate evaluation criteria;
Modular training (Module training)	Method of organization of educational process on the basis of modular construction of educational program, curriculum and educational disciplines;
Офис регистратора (Office of the Registrar)	The Service, which is engaged in registration of students to the disciplines taught, registration of all their academic achievements during the entire period of training, ensuring the organization of the benchmark and final control of knowledge and calculation of academic ranking
Re-study the discipline (Retake/Retake)	Repeated passing of discipline in case of receiving the final assessment «unsatisfactory» («F»)
Prerequisites/post-requisites (Prerequisites /Postrequisites)	Disciplines and (or) modules and other types of training activities, containing the knowledge, skills, skills and competencies necessary for the mastery of the discipline and (or) modules; Disciplines and (or) modules and other types of training activities for which knowledge is required, the skills, skills and competencies acquired upon completion of the study of this discipline and (or) modules;
Проктор (Proctor)	Examiner
Work curriculum (Syllabus)	The curriculum, including the description of the studied discipline, the goals and objectives of the discipline, its summary content of the discipline, the list of knowledge and skills obtained by the student, the topics and duration of each class, the tasks of independent work, office hours, teacher requirements, knowledge assessment criteria, completion schedule and list of literature used
Work curriculum (Curriculum)	A document containing a complete list of compulsory and elective teaching subjects with an indication of the number of credits, the sequence of studies, the types of training sessions and the forms of control.
Frontier control (Midterm)	Verification of educational achievements of students at the end of the section (module) of the discipline. Conducted by a teacher of this discipline. The number of frontier controls is determined by the teacher.

GPA Grade Point Average (Grade Point Average)

Weighted average assessment of the level of academic achievement of the student in the selected program during the academic period (ratio of the sum of credit hours on the digital equivalent of points of the final control of the discipline to the total number of credits for the current period of study).

Trancrypt  
(Transcript)

Document containing the list mastered disciplines and (or) modules, and other types of training work for  
The relevant training period with credit and evaluation;

Academic Discipline (Course)

The set of requirements and standards established by these Rules and other internal documents of the University, in the part related to the educational process.

Учебные достижения обучающихся/  
(Educational achievements of students)

Knowledge, skills, skills and competencies  
Students who are acquired through education and who reflect the level of personal development achieved;

Elective Disciplines (Elective)

Study subjects included in the university component and the component of choice within the established academic credits and introduced by the educational organizations, reflecting the individual training of the student, taking into account the specifics of the socio-socioeconomic development and the needs of a particular region, established scientific schools.

#### 4 Pre PhD doctoral program

If the profile of the educational program of doctoral studies is accepted and coincides with the master's program, the results of the previous level of education are recognized automatically; If the profile of the educational program of doctoral studies does not coincide with the program of master's degree doctoral students are set prerequisites for development.

The doctoral student before the beginning of the training (or during 1 year of study) must pass all prerequisites necessary for the development of the corresponding educational program of doctoral studies. The development of necessary prerequisites by the doctoral student is carried out on a paid basis.

Payment for prerequisites is calculated as follows:

- on bachelor's disciplines - at the cost of credits in bachelor's degree;
- on the disciplines in the master's program - on the cost of credits in the master program, approved by the Decision of the Board of Directors of NJSC «KazNRTU named after K.I. Satpayev».

At the entrance of the master of profile direction to the doctoral PhD it is additionally established as prerequisites educational program of postgraduate education of the pedagogical profile of the scientific and pedagogical magistracy.



## **5 Admission and enrollment in doctoral PhD**

5.1 Enrollment of applicants to the contingent of students in the educational programs of PhD of KazNRTU is carried out on the basis of the Model Rules of admission for training in educational organizations, implementing educational programs of higher and postgraduate education (approved by the Order of the Minister of the Ministry of Education of the Republic of Kazakhstan of October 31, 2018 600).

5.2 The formation of a contingent of students' educational programmes of doctoral studies is carried out by placing a State educational order for the training of scientific and pedagogical personnel, as well as paying for training at the expense of citizens and other sources.

5.3 Admission to doctoral studies is carried out on a competitive basis on the basis of the results of the entrance examination by groups of educational programmes.

5.4 Admission of foreign citizens to doctoral studies is carried out on a paid basis under doctoral programs. The admission of free postgraduate education to foreigners on a competitive basis in accordance with the State educational order is determined by the international agreements of the Republic of Kazakhstan.

5.5 The admission of foreign citizens to study under the educational programs of postgraduate education on a fee basis is carried out on the basis of the results of the interview conducted by the admission commissions of the Department of Internal Affairs or scientific organizations during the calendar year.

5.6 Educational documents issued by foreign educational organizations are recognized in accordance with the procedure established by law.

Documents in a foreign language are provided with notarized translation into Kazakh or Russian.

Educational documents issued by foreign educational organizations undergo the procedure of recognition of educational documents in accordance with the procedure established by the legislation of the Republic of Kazakhstan after the enrollment of persons during the 1 (first) academic period.

5.7 Entrance examinations for the study programme group and doctoral studies are conducted in accordance with the Admission Rules.

## **6 Structure, requirements to the content of the educational program**

6.1 The educational program of the Doctor of Philosophy (PhD) has a scientific and pedagogical orientation and presupposes a fundamental educational, methodological and research training and in-depth study of disciplines in the relevant areas of science for the system of higher and postgraduate education and the scientific sphere.

6.2 The structure of the doctoral program consists of two components: educational and scientific, determining the content of education. In planning the



amount of teaching work, assume that one academic credit is equal to 30 academic hours for all types.

6.3 The educational program of preparation of the doctor on a profile involves fundamental educational, methodological and research training and in-depth study of disciplines in the relevant fields of science for branches of the national economy, Social sphere: education, medicine, law, art, services, business administration, defense and national security, law enforcement.

6.4 The doctoral programme includes:

1) theoretical education, including the study of the cycle of basic and major disciplines;

2) Practical training of doctoral students: various types of professional practices, scientific internships;

3) Research (experimental research) including doctoral thesis;

4) Intermediate and final certification.

6.5 Theoretical education consists of a cycle of basic disciplines and a cycle of major disciplines.

- The Basic Disciplines Cycle (OBD) includes the disciplines of the mandatory component and the component of choice.

- the cycle of major disciplines (PD) consists only of disciplines of the component of choice.

The list of disciplines of the mandatory component is determined according to the doctoral candidate's field of training. The corresponding minimum volumes of credits of disciplines of the mandatory component are determined by the State general standards of postgraduate education areas of doctoral studies.

The list of disciplines of choice and the corresponding minimum volumes of credits are established by the department independently in accordance with the scientific requests of the university and its affiliated institutes.

Educational doctoral programs in the part of professional training should be developed on the basis of the experience of high-ranking foreign universities and scientific centers implementing accredited programs of training «PhD» (PhD) or «doctors in profile».

6.6 In order to form the practical skills of scientific, professional activity in a specific branch of science, the doctoral student undergoes a practice, which is implemented in accordance with an individual plan, within the terms determined by the curriculum. The practice is carried out with the aim of forming practical skills of scientific, scientific and pedagogical and professional activities.

The scientific component of the educational program of doctoral studies is formed from research (hereinafter - DSRW) or experimental research work (hereinafter - EIRD) doctoral student, scientific publications, writing and defense of doctoral thesis.

The volume of research (experimental research) work of the doctoral student is 123 academic credits in the total amount of educational program of doctoral studies.

6.7 The research requirements of a PhD student should include:

1) correspond to the main problem of the field of research (science) on which the doctoral thesis is defended;

2) be relevant, contain scientific novelty and practical significance;

3) Based on modern theoretical, methodological and technological achievements of science and practice;

4) Be based on modern methods of data processing and interpretation using computer technologies;

5) Be carried out using modern research methods;

6) contain research (methodological, practical) sections on the main protected provisions.

6.8 Requirements for the experimental research work of a PhD student:

1) the correspondence of the main problem of the direction of training, taking into account the interdisciplinary nature of the doctoral thesis;

2) be relevant, contain scientific novelty and practical significance;

3) To be based on modern achievements of science, technology and production and to contain specific practical recommendations, independent solutions of managerial tasks of complex, inter-functional character;

4) Be implemented using advanced information technology;

5) contain experimental research (methodological, practical) sections on the main protected provisions.

6.9 Every year, at the end of the academic year, the doctoral student undergoes an academic certification for the implementation of an individual work plan.

6.10 The results of research or experimental research work at the end of each period of their passage are issued by the doctoral student in the form of a summary report. The final result of the doctoral research or experimental research work is the doctoral thesis.

The thesis is carried out in compliance with the principles of independence, internal unity, scientific novelty, reliability, practical value and academic honesty.

The principle of independence means that the thesis is written independently and attests to the personal contribution of the author of the thesis to science, development of technology.

The principle of inner unity means that the thesis has an internal unity, all sections and provisions of the dissertation are logically interconnected; The scientific provisions, results and recommendations must be consistent with the objectives and goals of the thesis. The new solutions (principles, methods) proposed by the author are reasoned and evaluated in comparison with known solutions.

The principle of scientific novelty means that scientific results, regulations, recommendations and conclusions of the thesis are new and the thesis contains:

- new scientifically based theoretical and (or) experimental results, the totality of which qualifies as a new scientific achievement or is important for the development of specific scientific directions;

- or scientifically based technical, technological, economic or managerial solutions, the introduction of which contributes significantly to the development of the country's economy.



The principle of reliability means that the results of the dissertation work are obtained using appropriate scientific research methods and methods of data processing and interpretation using computer technologies (if applicable); Theoretical conclusions, models, revealed relationships and regularities have been proved and confirmed by experimental research, and conclusions from experiments are reproducible and (or) statistically reliable; for specialties of group "Education" the results are proved on the basis of pedagogical experiment (if applicable);

The principle of practical value of the thesis means that the thesis, which has an applied value, provides information on the practical use of the scientific results obtained by the author, confirmed by the author's certificates, patents, intellectual property certificates, implementation acts in production and other official documents, and in the thesis, which has a theoretical significance, recommendations on the use of scientific findings.

The principle of academic honesty means that the author of the thesis respects the rights and legitimate interests of other authors, the absence of:

- using and (or) assigning text, ideas, hypotheses, conclusions, methods, research results, graphs, codes, pictures or works of other authors without reference to the author and source of borrowing, and using text of other authors with synonymous word substitution and expressions without changing the meaning, including using text translated from another language (plagiarism);

- facts of using own material, actual and digital data without reference to itself and (or) the source of own quotations (autoplagerism);

- references to non-existent sources, provision of inaccurate data and (or) results, records or reports of them (fabrication);

- manipulation of research materials, equipment, images, illustrations or processes, resulting in distortion of research materials in the dissertation (falsification).

Coincidence of names of normative legal acts and official documents, names of state and other official bodies and organizations, common for the corresponding branch of science terms, definitions and concepts, texts of normative legal acts, The texts of the studied works are not plagiarism, if the volume and nature of their use do not call into question the independence of the thesis. Technical means and techniques shall not be used to reduce or eliminate the possibility of detecting plagiarism.

6.11 The thesis is presented in one of the forms:

1) Thesis work;

2) a series of no less than two articles and one review or three articles published in the publications included in the first and/or second quartile of impact factor according to the Journal Citation Reports (Jornal Citaishen Report) of Clarivate Analytics (Clarivate Analysts). In one of the articles, the doctoral student is the first author or author for correspondence.

The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD), Doctor of Profile are published before the defense of the dissertation in scientific publications included in the list of scientific publications recommended for publication of the main results of scientific activity (followed by List of publications), and (or) in an international peer-reviewed scientific journal.

The international peer-reviewed scientific journal has an impact factor according to the Journal Citation Reports (Jornal Citaishen Report) (hereinafter - JCR (JSR) and is indexed in the database Web of Science Core Collection (Web of Sains Cor College) (Arts and Humanities Citation Index (Arts and Humanities Citation Index), Science Citation Index Expanded (Sayens Citaishen Index Expansion), Social Sciences Citation Citation Index (Soucial Sayensyze Citaishen Index) of



Clarate Analytics (Clarivat Index) or has a certain percentile on CiteScore (CytCor) in the database Scopus (Scopus).

Publication requirements for security clearance:

- at least 1 (one) article (article) or review (review) in an international peer-reviewed scientific journal that has an impact factor based on JCR (JCR) data and is indexed in the Web of Science Core Collection (Web of Sains Core Collection) (Arts and Humanities Citation Index (Arts and Humanities Citation Index), Science Citation Index Expanded (Sayens Citaishen Index Expandide), Social Sciences Citation Index (Soucial Cienze Citaishen Index), or the percentage of SilSiteScore Index (25) (twenty-five) in the Scopus (Scopus) database and 3 (three) articles in journals from the List of Publications;

- or at least 1 (one) article (article) in an international peer-reviewed scientific journal indexed in the Web of Science Core Collection (Web of Sains Core Collection) (sections of the Arts and Humanities Citation Index (Arts and Humanities and Citation Index) Science Citation Index Expanded (Ciens Citaishen Index Expandide), Social Sciences Citation Index (Social Sciences Cytase Citation Index) and included in the first two quartiles of impact factor according to JCR (JSR) or percentage of CiteScore (SiSCity Index) of less than 35 and 35) Scopus (Scopus) database;

- or at least 2 (two) articles (article) or 1 (one) article (article) and 1 (one) review (review) in international peer-reviewed scientific journals indexed in the Web of Science Core Collection (Web of Sains Cor Collechn) (Arts and Humanities Citation Index (Arts and Humanities Citation Index), Science Citation Index Expanded (Sayens Citaishen Index Expandide), Social Sciences Citation Index (Sousial Sayensee Citaishen Index), and are included in the first three according to the JQT quotient (HPD) or having a percentile index of CiteScore (Cit Cor) at least 35 (thirty-five) in the Scopus (Scopus) database;

- or the presence of a chapter in a monograph (doctoral papers belong to at least 3 printed sheets), published in Elsevier (Elzevir), Brill (Brill), CRC Press (CPC Press), DeGruyter (DeGruyter), Edward Elgar Sons (Edvar Elgar Paghl), John Wiley & Publishing (John Wylie and Sons), McGraw Hill (Macro Hill), Palgrave Macmillan (Palgrave McMillan), Peter Lang (Peter Lang), Prentice Hall (Prentice Hall), Routledge (Rutledge), Sage (Sage Publich), Springstein Springer (Springs), Taylor and Gerringer (Springstein (Springer), Springer (Springer), Springer, Springer (Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Gerry, Gerry, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, Springer, SpringerWolters Kluwer (Volters Kluwer) (hereinafter referred to as Trusted Publishers) or in the University's top 100 ranking US News Best Global Universities Rankings (US News Best Global Ranking) or Academic Universities of World Ranking (Academician Rankin of World University) or Times Higher Education World University (The Times Hire Edge World University).

If there is one scientific article in the journal, which is included in the first quartile on the impact factor according to JCR (ZSR) data or has a percentile on CiteScore (SaitScore), no other publications are required.

Publications in international peer-reviewed scientific journals, conference collections correspond to the content of the dissertation and the thematic focus of the journal and the conference declared in the said bases, published on the official website of the journal, in current issues and have the type Article (Article), Review (Review) or Article in Press (Article in print), Conference Paper, Proceedings. It is allowed to publish in international peer-reviewed scientific journals having an interdisciplinary direction (Multidisciplinary).

In case the indexing of the international peer-reviewed scientific journal in the Scopus and/or Web of Science database is discontinued due to violations, the publications of the



applicant in this journal for the year in which indexing was discontinued and for the previous year are not counted.

The quartile of the journal in the Web of Science database and (or) percentile on CiteScore (Cit Cor) in the Scopus database is counted for the year of publication or for the year preceding the year of publication.

When defending dissertations containing state secrets or information for official use, the main results of the dissertation are published in at least 7 (seven) publications on the topic of the dissertation, including at least 4 (four) articles - in scientific publications, listed publications.

All publications should indicate the affiliation of the University - KazNRTU named after K.I. Satpayev/ Satbayev University. The list of publications is approved by the Chief Scientific Secretary of the University.

6.12 The doctoral dissertation must be checked for borrowing without reference to the author and the source of the borrowing (verification of the thesis for plagiarism), which is carried out by the National Center for Scientific and Technical Information.

The thesis is marked with links:

- 1) Sources of quotations or selected results with full output;
- 2) Security documents for development, obtained by or co-authored by him;
- 3) scientific works on the subject of the thesis, performed by him independently or in co-authorship.

If the borrowed material is used without reference to the author and the source of the borrowing (hereinafter referred to as plagiarism) the dissertation board or the Committee makes a negative decision without the right of repeated protection.

6.13 In determining the doctoral student's academic workload, it is assumed that the academic year consists of academic periods, the forms of which (semester - 15 weeks, trimester - 10 weeks, quarter - 7-8 weeks) are determined by the university or scientific organization, the final certification period (senior year).

The full teaching capacity of one school year corresponds to 60 academic credits and corresponds to 1,800 academic hours per school year. At the same time, during one semester the doctoral student develops 30 academic credits.

One academic credit corresponds to 30 academic hours.

6.14 Doctoral students who have completed their doctoral studies may engage in scientific and pedagogical activities only if they have mastered the cycle of disciplines of pedagogical profile and undergo pedagogical practice. This cycle is completed during an additional academic period (if not stipulated by the curriculum), at the end of which it is issued the appropriate certificate to the main diploma.

The main criterion of the completion of the educational process for doctoral studies (PhD) (doctorate in profile) is the development of at least 180 academic credits, including all types of educational and scientific activities.

In cases of early completion of the educational program of doctoral studies and successful defense of the thesis, the doctoral student is awarded the degree of Doctor of Philosophy (PhD) or Doctor of profile regardless of the period of study.

The doctoral student, who has completed the full course of theoretical training of the educational program of doctoral studies, but has not completed DSRW (EIRD), is given the opportunity to re-master academic credits DSRW (EIRD) and defend the thesis in subsequent years on a fee basis.

6.15 A doctoral student who has completed a full course of theoretical teaching of the doctoral program of doctoral studies, performed by DSRW (EIRD), but who has not defended his doctoral thesis, Academic results and credits are awarded and the opportunity is given to defend the thesis for two years after graduation on a free basis, and in subsequent years on a paid basis of at least 4 academic credits.

6.16 At the same time, after 3 years after graduation, the doctoral student is protected only after the second approval of the scientific substantiation of the thesis (research proposal (research propagated)) on a fee basis.

The person who has mastered the educational program of doctoral studies and who has defended the doctoral thesis, with the positive decision of the dissertation council of KazNRTU is awarded the degree of Doctor of Philosophy (PhD) and is given the diploma of its own sample on the rights of the university with a special status.

6.17 In cases of early completion of the educational program of doctoral studies and successful defense of the thesis, the doctoral student is awarded the degree of doctor of philosophy or doctor in profile regardless of the period of study.

6.18 In order to ensure the academic mobility of a doctoral student in educational doctoral programs, the opportunity is given to study loans in other educational or scientific organizations, including abroad.

## **7 Educational content planning**

7.1 In the organization of the training process on CTT:

- 1) Work Curricula (hereinafter - RPM);
- 2) Individual study plans (hereinafter referred to as IPM).

7.2 The University determines the list of disciplines for the academic year and their labor intensity in loans, the order of study, types of training sessions and forms of control, as well as other types of training activities (practice, DSRW, EIRD), registration and protection of doctoral thesis).

The BMP is developed for the entire period of study and approved by the head of the educational organization.

7.3 Working curricula (syllabuses) are developed for all subjects of the curriculum and are approved by the higher education institution independently. In addition, the subjects of the mandatory component are developed on the basis of model curricula. The form, structure, procedure of development and approval of working training programs (syllabuses) are determined by the university independently.

7.4 Doctoral students are trained on the basis of an individual work plan prepared under the guidance of scientific consultants.



The individual work plan of the doctoral student is drawn up for the entire period of study and includes the following sections:

- individual curriculum (may be updated annually if necessary);
- research/experimental research (topic, research direction, timing and reporting format);

Practice (programme, framework, timing and reporting format);

- the topic of the doctoral thesis with justification and structure;
- the plan of implementation of the doctoral thesis;
- the plan of scientific publications and internships, including foreign ones.

7.5 The curriculum uses a single coding system of disciplines (modules), which assigns a code in alphabetical and numerical expressions to each curriculum subject.

7.6 To supervise the doctoral dissertation, the doctoral candidate is appointed within two months after admission scientific management. The scientific management is approved by the order of the rector of the OPRC on the basis of the decision of the academic council.

7.7 Scientific management of doctoral students for the degree of Doctor of Philosophy (PhD) is carried out by consultants in the number of at least 2 people, one of whom is a scientist from foreign OHPE.

7.8 Scientific consultants ensure completion of the doctoral thesis and observance of the principles of academic honesty, and timely submission of the thesis work on the defense.

Scientific guidance is provided by a teacher with a scientific degree «PhD», or «PhD», or «PhD»», or «PhD», or an academic degree «PhD (PhD)», or «PhD» or «PhD», or «PhD) «Doctor of profile», experience of scientific and pedagogical work at least three years, which is the author:

- in the areas of training of personnel 8D05 «Natural sciences, mathematics and statistics», 8D06 «Information and communication technologies», 8D07 «Engineering, processing and construction industries», 8D08 «Agriculture and bioresources», 8D09 «Veterinary», 8D10 «Healthcare and Social Welfare (Medicine)» 2 articles in international peer-reviewed scientific journals included in 1, 2, 3 quartiles according to JCR (JSR) data in the Web of Science Core Collection (Web of Sains of Kor Collkshn) or have a percentage of CiteScore (Skor) at least 35, or Hirsch index 2 or more.

#### 7.9 Responsibilities of Scientific Advisers

The scientific consultant is appointed to the doctoral student to render scientific, methodical and organizational assistance to the young scientist in research, writing and design of the thesis, presentation and protection of the results of the thesis research in the dissertation council.

*The duties of the National Scientific Adviser include:*

- help correctly formulate the topic of thesis research;
- the consultant should help the doctoral student to draw up an individual plan; and ensure control over the implementation of the doctor's individual work plan;

- determine the structure and plan of the thesis;
- determination of the main stages and terms of work on the thesis work;
- control and stimulate the process of publishing doctoral student;
- proofreading and editing of texts of scientific articles, reports, thesis research;
- the scientific consultant must attend the meetings of the department, the academic council of the institute, where issues attached to him doctoral students are considered;
- to help establish a doctoral student fruitful cooperation with a foreign leader.

*The duties of the scientific foreign consultant include:*

- to send an invitation to the PhD doctoral student to undergo an internship at their university or recommend another place of scientific internship;
- advise research on the topic of PhD doctoral thesis;
- to the joint publication of research results on the topic of PhD doctoral dissertation in scientific publications, having a percentile above 25 on CiteScore (SaitScore) in the database Scopus (Scopus) Qi, Q2, Q3 or impact factor (or indexed) in the Web of Science Core Collection (Web of Sains Core Collection).
- Provide PhD doctoral candidate with access to laboratories, resource centers and lectures during the internship.

7.10 The subject of the doctoral thesis is determined during the first semester and approved by the decision of the academic council. The doctoral student changes the title of the doctoral thesis theme during the first year of study.

7.11 During the period of pedagogical practice, doctoral students, if necessary, are involved in the conduct of studies in bachelor's and master's degree. The duration of pedagogical practice for 1 credit is 1 week.

During the period of the pedagogical practice, the doctoral student keeps the Diary of Practice (F KazNRTU 709-06. Diary of practice.doc), in which he makes notes about the works performed in practice; Indicates the skills acquired during the practice, The Diary includes their comments and recommendations of the head of practice, as well as the head of the relevant department.

At the end of the pedagogical practice, the doctoral student provides a detailed report on the practice to the appropriate department. In the report, the doctoral student fully describes his work during the practice. The doctoral student reports to a commission established by the members of the respective department. The assessment for the report on pedagogical practice is presented in the list (F KazNRTU 706-32. The statement on the protection of reports on practice.doc).

7.11 Within the framework of INDD (EID), the doctoral's individual work plan for acquaintance with innovative technologies and new types of productions provides for mandatory scientific internship in scientific organizations and (or) organizations in relevant industries or fields, including abroad.



The place of internship corresponds to the scientific direction of the educational program, the subject of the doctoral thesis and the place of work of a foreign consultant.

Internship is carried out in the leading foreign scientific organizations and OVPO, which occupy the first 1000 positions in the international rankings or the first 200 positions in the corresponding direction (by Subject (buy-in subjacket)).

7.12 The period of foreign research internship doctoral student is from 30 to 90 calendar days.

Internship expenses are reimbursed to:

- studying on the state educational grant, at the expense of funds of the state order (if the planned expenses are exceeded, the remaining amount is paid at the expense of the doctor's own funds);
- studying at the paid department, at the expense of the doctor's personal funds.

Internship expenses are allocated according to the calculation of the cost of doctoral studies.

7.13 The University, together with the internship organization, approves the internship programme and the weekly plan.

The program includes educational and scientific components.

The internship is carried out by persons with preliminary results of research and (or) publications on the subject of the study.

When passing the internship in a foreign language requires a language certificate:

- английский язык: Test of English as a Foreign Language Institutional Testing Programm

- Test of English as a Foreign Language Institutional Testing Programm Internet-based Test **60**,

- Test of English as a Foreign Language Paper-based testing **498**,

- Test of English as a Foreign Language Paper-delivered testing **65**,

- International English Language Tests **6.0**;

- and/or German language: Deutsche Sprachpruefung fuer den Hochschulzugang (Deutsche Für Hochür Hochülzug) (DSH, Niveau C1/level), TestDaF-Prufung (Testdaf-Prü) (Nic1 level);

- and/or French: Test de Franzais International™ - Test de Français Internacional (TFI(TFI) - not lower than B1 on reading and listening sections), Diplome d'Etudes en Langue Franzaise - Diploma Detude An Lang Française (DFF)level B2), Diplome Approfondi de Langue franzaise - Diploma Appofondi de Lang Française (DALF (DALF), level C1), Test de connaisce du franzaise - Test de Connessense du Francais (TCF (TCF) - at least 50 in).

The results of the internship are reviewed at the OVPO scientific seminar.

7.14 In order to apply for foreign research internship doctoral student must submit documents to the authorized structural subdivision within 4 weeks - near abroad; for 6 weeks - Far abroad - before the proposed date of business trip according to the following list:

1) Application addressed to the Vice-Rector for Science and International Cooperation;

2) submission of the Director of the Institute to the Vice-rector of Science and International Cooperation, with the visas of the scientific director, head of the Department, director of the Institute;

3) copy of the letter of invitation for the internship from the university, scientific organization and/or organization in the specialty. The letter of invitation shall be accompanied by a scientific internship programme;

4) weekly plan for the student's scientific internship (detailed), certified by the scientific director, the head of the department and the director of the institute;

5) Cost estimates (Note by the Director of the Institute to the Vice-Rector for Corporate Development and Strategic Planning);

7.15 At the end of the scientific internship doctoral student should:

- within 7 (seven) working days from the date of arrival to submit to the Department of Finance and Accounting a report with an annex of supporting documents;

- in a week from the date of arrival to submit to the relevant department a detailed report on the results of the internship in accordance with the approved program of internship, certified by the scientific director, the head of the department and the director of the institute.

The report shall be accompanied by:

- a copy of the certificate (a document confirming the mastery of the scientific internship program);

- extract from the minutes of the department session on the results of the doctoral student's scientific internship.

7.16 Doctoral student's duty and responsibility:

- carry out research and thesis preparation in accordance with the individual plan;

- timely implementation of the individual plan;

- at the end of each semester to report on the performance of NIRD to the issuing department;

- to publish articles according to the requirements of COXON MNWO RK;

- to undergo scientific training abroad;

- complete the work on the dissertation and pass the expanded session at the department for the conclusion.

## 8 Doctoral assessment

8.1 Academic achievements (knowledge, skills, skills and competencies, including all kinds of practices) of doctoral students are evaluated in points on a 100-point scale corresponding to the internationally accepted alphabet system with digital equivalence (positive evaluations, as they descend, from «A» to «D», and «unsatisfactory» - «F», «FH») and assessments of the traditional system (Annex 4).



8.2 The F score shall be given in the case of:

- in case the student scored for the 1st certification and 2nd certification less than 25 points (0-24 points);

Failing to attend the examination without a valid reason;

- if the final control (examination) score is less than 10 points;

8.3 In case of obtaining an assessment «unsatisfactory» corresponding to the sign «FX» (10-19 points), the doctoral student has the opportunity to retake the final control without repeated passing the program of study discipline/module. If at repeated retesting of the exam from «FX» the doctoral student could not confirm the cumulative threshold level of 50 or more points for discipline, the assessment of «F» is given, taking into account at least 20 points for the exam.

In case of obtaining an assessment of «F» in the discipline of the obligatory component, the doctoral student is obliged to repeat the discipline (reseikh) on a paid basis.

During the intermediate certification of the student, the examination in the academic discipline (module) may be repeated not more than twice.

In case of receiving the third time assessment FX or F, corresponding to the equivalent of «unsatisfactory», the student is expelled from the university regardless of the number of received assessments «unsatisfactory» and loses the opportunity to enroll in this discipline again.

8.4 A student who has received an unsatisfactory grade in electoral discipline has the right to repeat it or to replace it with another electoral discipline. The replacement of the discipline must be agreed with the head of the department.

8.5 Repeated passage of the discipline is carried out for an additional payment for doctoral students of the paid department and studying at the expense of funds of the state educational grant or a grant of the University.

8.6 Registration for the repeated completion of the discipline (retaikk) is carried out in the general order through the Office of the Registrar.

Intermediate and final certification of doctoral students is organized by the relevant departments and institutes together with the Office of the Registrar, control and report on the conduct of the examination is carried out by the Department of doctoral studies.

8.7. Awarding of academic credits to doctoral students in academic disciplines (modules) and other types of academic work, as well as on completion of the study of OT in general is carried out with a positive assessment of the results of training.

8.8 The scores obtained by the students on the results of the exams are entered by the teacher into the database of the educational portal of the University. The examination sheet signed by the teacher (on paper) is provided to them by the Office of the Registrar and the scorecard cannot be changed. When taking into account the academic performance of doctoral students as the basis is the examination sheet on paper.

8.9 During the examination period, an Appeals Board shall be established by order of the Director of the Institute in accordance with the relevant direction, in order to meet the requirements of the examination, resolve contentious issues,

protect the rights of persons passing the examination, an odd number of members, including its Chairman.

The appeal on the results of the intermediate and final certification shall be heard no later than 3 working days after the filing of the appeal.

The student who disagrees with the results of the examination shall file an appeal no later than 12.00. the hours of the next working day after the results of the examination.

When filing an appeal, as well as when present at the hearing of his appeal, the student must carry an identity document.

The Appeals Commission examines the complaints of students on:

A) Violation of the intermediate and final certification procedure;

B) Biased rating;

B) The fact that the question (test task/task), which the student could not answer, was not included in the curriculum for this discipline;

D) Test part of the examination when:

- there is no right answer;

- two correct answers;

- the text is not displayed correctly.

In appeals under sub-paragraphs B) to H) of 8.9, the Appeals Commission shall call upon experts. The composition of the experts shall be such that there is no conflict of interest that could influence the decisions taken.

During the examination of the appeal by the experts, only the correctness of the assessment of the results of the intermediate and final certification examination shall be verified. The expert has no right to ask additional questions to the student.

During the hearing of the appeal, the expert shall give an opinion to the appeal board on the merits of the appeal application on the evaluation of the examination results.

The Chairman of the Commission must be present at the Appeal Commission meeting and at least 75% of the Commission members must be present.

The decision on the appeal shall be taken by a majority vote of the total number of members of the commission. In the event of a tie, the vote of the chairman of the commission shall be decisive.

The Appeals Commission shall have the right to retain the evaluation obtained at the intermediate and final attestation, or to cancel it and to issue another (increased or reduced) assessment.

Appeal Board decision on assessment of interim and final certification is final

The results of the appeal shall be recorded in the record. The protocol of the Appeal Commission shall be issued by the Protocol. The protocol of the appeal commission is drawn up according to the form F KazNRTU 706-28. The minutes of the meeting of the appeal commission on the results of the examination. The office of the registrar receives a memo from the head of the department with the report of the appeal commission to give the teacher the opportunity to enter the protocol decision into the statement.



8.10 Doctoral students are strictly prohibited from unauthorized (unauthorized) access to teachers' computers, electronic database and other documents of the University (journals, records, etc.) in order to improve the grades (points) obtaining correct answers to test tasks and other contrary to the established procedure. In the event of such misconduct, doctoral students are expelled from the University.

Attendance at doctoral exams is strictly mandatory. If a doctoral student, who has completed the program of discipline in full, did not appear for the exam, the manifest in front of him is shown a note of absence. When entering the final grade for the exam in the educational portal, the absent doctoral student is assessed «F». If there is a good reason, the «I» (Incomplete) rating is given with the possibility of further passing the exam.

### **9 Rating «I» (Incomplete) - discipline is not completed**

9.1 The teacher may rate «I» the student who did not show up for the exam/test for the following reasons:

Serious illness (requiring hospital treatment longer than 5 days);

In connection with the birth of a child;

- in connection with the death of close relatives (close relatives include: parents, children, adoptive parents, siblings, grandparents);

For reasons of duty or study.

All these reasons must be supported by supporting documents.

The student must submit to the Vice-Chancellor of Academic Affairs, within three working days of the date of the pass, a statement indicating the reasons for the absenteeism/examination and the attachment of original supporting documents. In the event that the doctoral student is unable to submit the application in person, the parents or close relatives of the doctoral student, the advisor can write and submit the application on his behalf with the subsequent provision of supporting documents. A medical certificate is the supporting document in case of illness.

The application is signed by the instructor of the discipline, the director of the institute and the director of the DN. If the reason for the absence of classes/exam will be recognized as respectful, the student will be given an «I» rating under the above conditions.

Otherwise, the student is evaluated by «F».

9.2 Provided that the student fulfills all requirements of syllabus, retaking the student's assessment «I» and making changes to the standard assessment («A», «B», «C», «D», «F») in the discipline:

- the autumn semester is held for 2 weeks from the beginning of the spring semester;

- spring semester within 2 weeks after the summer examination session.

9.3 To correct the «I» grade for the standard grade, the student must pass the final exam according to the schedule of exams prepared by the Office of the Registrar.

9.4 If the student has not fulfilled all requirements within the set period of time (week from the date of the end of the exam), the rating «I» is transferred to «F», i.e. «unsatisfactory».

9.5 In case of absence of a teacher at the University, who has presented to the student the evaluation of «I», the head of the department recommends another teacher to the commission.

9.6 If the student for any reason is expelled from the University before the expiry of the deadline for correction of «I», this assessment remains in the transcript unchanged.

9.7 The rating of «I» is not credited and is not taken into account when calculating the GPA.

## **10 Final certification**

10.1 The final certification is not less than 12 academic credits in the total volume of the doctoral educational program and is carried out in the form of a dissertation work or a series of articles, the requirements for which are stipulated by the Rules of degrees, approved by the order of the Minister of Education and Science of the Republic of Kazakhstan of 31 March 2011, 127 (registered in the Register of State Registration of Normative Legal Acts for 6951):

## **11 Organization of the educational process using Blended Learning technology**

11.1 Blended Learning (Mixed Learning) is an educational technology in which a doctoral student obtains knowledge and independently online and directly with a teacher. Blended Learning is an opportunity to combine traditional methods and current learning technologies.

11.2 The organization of training using BL technology at the University provide educational institutions in the prescribed manner.

11.3 The decision to provide the student with the opportunity to study BL technology is made by the curator Vice-Rector with the consent of the head of the relevant department and the director of the relevant institute.

11.4 To receive education using the BL technology, the student must submit an application in the name of the curator of the Vice-Rector, with the provision of the following documents:

- certificate from the place of work (schedule of shift work) indicating the permanent employment of the doctoral student;
- a letter from the organization in which a doctoral student is employed with a request for training in BL technology.

11.5 The application for transfer to training using BL technology doctoral student is signed by the curator Vice-Rector.



11.6 The organization of the educational process is regulated by the curriculum, academic calendar and schedule of classes.

## **12 Academic mobility of doctoral student**

12.1 To ensure academic mobility, doctoral students study certain disciplines in other educational organizations, including abroad. A bilateral agreement is concluded between the educational organizations.

12.2 The Department of International Cooperation coordinates the university's academic mobility programs.

12.3 In order to benefit from the diverse educational experience of other educational organizations, the "mobility windows" define the time frame, academic disciplines and credit volumes that the student develops in another university.

12.4 The procedure of organization of academic mobility and selection of doctoral students is carried out by the University independently.

At the same time, the direction for participation in academic mobility within the framework of programs funded at the state level, is carried out in accordance with the Rules of direction for study abroad, within the framework of academic mobility, approved authorized public authority.

To participate in international credit mobility you need to know a foreign language at the level provided by the host organization of the education.

12.5 The final document confirming the doctoral student's training on the mobility program is a transcript or its counterpart in the host country.

12.6 The transcript contains information about the curriculum: the names of disciplines (module), evaluation, the number of academic credits.

12.7 The results of the training, mastered in full by the doctoral student within the framework of academic mobility and confirmed by the transcript, are overwritten by the University in a mandatory manner.

12.8 In order to ensure the academic mobility of doctoral students and the recognition of educational programs in the European educational space, it is necessary to recalculate Kazakh loans into ECTS loans, in accordance with the Rules of the organization of the educational process on credit technology of training.

## **13 Expulsion of doctoral student from KazNRTU**

13.1. Doctoral students may be expelled from the University:

1) by choice (including transfer);

2) Systematic or gross violations of academic discipline, including failure to attend training sessions without valid excuse for a month or more; violation of the Charter, these Rules, Internal Regulations, Code of Ethics or other normative documents of the University; violation of the norms of the legislation of the Republic of Kazakhstan, the conditions of the contract concluded with the University for training;

3) on other grounds stipulated by these Rules, other internal documents of the University and/or the legislation of the Republic of Kazakhstan.

13.2 The doctoral student who wishes to be expelled from KazNRTU, must write an application to the curator of the Vice-Rector with a request for expulsion and submit it to the Directorate of the Institute, previously registered in the Department of Documentation Support and Development of the State Language. The application for expulsion is submitted by the doctoral student immediately after his decision on expulsion from KazNRTU. In case of late submission of an application for expulsion at own will at the end of the doctoral student's attendance of training sessions in KazNRTU, doctoral student may be expelled at the end of the examination session (school year) for violation of academic discipline. In this case, the money paid for the training is non-refundable.

13.3 Financial accrual of tuition fees, state grant and scholarships is suspended from the moment of submission of the doctoral student's application (pre-registered in the Department of Documentation and Development of the State Language to the Directorate of the Institute, which within two days must report the suspension of financial accrual to the Department of Finance and Accounting of KazNRTU.

13.4 Doctoral student studying at the expense of the legal entity (Customer) must notify the Customer in advance of their intention to withdraw from the University.

13.5 In the event that the doctoral student does not register and/or fail to attend the training and that he does not submit any documents confirming a valid reason for his absence, The Institute's management, together with a doctoral student, takes the necessary measures to determine the reasons for not registering/not attending.

13.6 In the event that, within one month of the date of the non-attendance, the doctoral practitioner, despite the above-mentioned measures, does not start the studies, does not provide any information and documents confirming the reasons for the non-attendance, The Director of the Institute shall submit a submission for the issuance of an order on the expulsion of the doctoral student, at the same time having notified parents/relatives in writing.

13.7. The University has the right to expel a doctoral student who left the Republic of Kazakhstan during the academic year without the consent of the administration of the University (commission on travel abroad) for violation of academic discipline.

13.8 The expulsion of a doctoral student is issued by order of the supervising Vice-Rector.

13.9 The doctoral student, expelled from the university, is given a certificate of the established pattern.

13.10 Doctoral students, holders of educational grants, who have left for a further course of study, are deprived of an educational grant and continue their further studies on a fee basis.



## **14 Conversion of doctoral students from one year (course) to another**

The transfer of students from the course to the course is carried out at the end of the school year (intermediate certificates) and the average score (GPA).

A prerequisite for the transfer of a doctoral student from the course to the course is that they reach the average point of achievement (GPA) not less than the approved by the University set conversion point.

Doctoral students studying on a paid basis and holders of state educational grants, who received a transfer point and transferred the next year (course) training, if there are academic debts must on a fee basis re-study the relevant disciplines and pass an exam.

## **15 Procedure of recovery of doctoral student in KazNRTU**

Doctoral students can only recover on a paid basis.

15.1 Doctoral student, who wishes to be reinstated in KazNRTU, submits an application in any form for reinstatement in the name of the curator of the Vice-rector of the University with a visa of the Director of the Institute, previously registered in the Department of Documentation Support and Development of the State Language.

The application for restoration is accompanied by: a transcript signed by the university management and sealed.

15.2 The director of the institute (together with the head of the issuing department on the basis of the submitted documents) on the basis of the submitted documents:

- determines the difference of disciplines in the curriculum and in accordance with the prerequisites, sets the course of training, Carry out a refill of the implemented credits in accordance with the educational program and approve the individual study plan of the doctoral student in agreement with the office of the registrar;

- in agreement with the Office of the Registrar makes a transfer of training credits (F KazNRTU 707-04), where the re-examined previously studied disciplines with the volumes of training credits on the point-rating alphabet system of evaluation of doctoral achievements are indicated, course, cumulative GPA, academic differences.

15.3 The University issues an order to reinstate a doctoral student if the documents have the consent(s): the Director of the Institute, the Registrar's Office, the head of the department.

15.4 In the event that the doctoral student has not previously studied at KazNRTU, the university management within three working days from the day of issuance of the order sends a written request to the university, where previously the doctoral student, to send his personal file. Attached to the request is a copy of the order to enroll a doctoral student translated.

15.5 Doctoral student studying under an educational grant and having the opinion of a medical advisory commission on the prohibition to study in this specialty as a result of the disease acquired during the study, transfer from one specialty to another to the available vacant place on educational order.

Applications of doctoral students for transfer and restoration are examined by the rector of the university during the summer and winter holidays within five working days before the beginning of the next academic period.

15.6 Doctoral students of past graduation, who have not come to the protection in time, after the expiry of the term of protection on a free basis (i.e. more than 2 years after expulsion) must be restored, for the pre-protection and protection.

The doctoral student should write an application to the curator of the Vice Rector with the request to restore him to the doctoral number for predefense and defense, indicating the topic of the thesis research and scientific managers. After approval by the Academic Council of the University, an order is issued.

The application shall be accompanied by the following documents:

- 1) application addressed to the vice-rector (pre-signed by the domestic head, head. department, director of the institute);
- 2) Orders for admission, retention, approval of the subject and scientific advisers;
- 3) excerpt from the minutes of the department session, extract of the session of the Administrative Institute.

15.7 In the event of the expiry of 3 years after graduation, a doctoral student is allowed to defend himself only after the re-approval of the scientific substantiation of the thesis study (research proposal). The doctoral student should write an application to the curator of the Vice-rector with the request to restore him to the doctoral number for the approval of the scientific substantiation of the thesis research on the topic of thesis, for the passage of preprotection and further protection. The application shall be accompanied by the following documents:

- 1) Orders for admission, retention, approval of the subject and scientific advisers;
- 2) excerpt from the minutes of the session of the Department, extract of the session of the Administrative Institute

After approval by the Academic Council of the University, the doctoral department on the basis of the extract of the Administrative Department issues an order on the restoration and approval of scientific justification.

## **16 Provision of sabbatical and academic breaks**

16.1 In granting academic leave to a person studying on the basis of a State educational order, the right to further education on the basis of a State educational order remains with him and the financing of his studies is interrupted (with the exception of financing the costs of scholarships due to the established procedure for grant holders on academic leave on the basis of the opinion of the medical advisory



commission) for the period of the granted academic leave, which is renewed after it is over.

16.2 In the case of granting academic leave to students on a fee basis, tuition fees are suspended for the period of academic leave.

16.3 Academic leave is granted to the student:

- On the basis of the opinion of the Medical Advisory Commission (hereinafter referred to as the CMC) from 6 to 12 months;
- On the occasion of birth or care of a child under three years of age;
- on the occasion of the call-up to the Armed Forces of Kazakhstan.

16.4 For registration of academic leave, the student submits an application in the name of the supervising Vice-Chancellor and submits a certificate of the Control Committee, a certificate of disability for pregnancy or childbirth, or a document on conscription to the Armed Forces of the Republic of Kazakhstan.

16.5 The student, who has returned from the academic leave before the beginning of the next academic period, in at least 10 working days, submits an application to the curator of the Vice-Chancellor to leave the academic leave and submits a certificate from the East Kazakhstan Committee on the state of health of the medical organization, observant. On the basis of this, an order to leave academic leave is issued within three working days.

16.6 In the event that the doctoral student has not left the academic leave within the period specified in the order «On granting academic leave», the University has the right to expel the doctoral student, as not having left the academic leave.

16.7 A student who has returned from a sabbatical must make up for the differences, if any, in the curriculum.

## **17 Procedure for the transfer of a doctoral student within the University**

The process of translation of the doctoral student inside the University is carried out according to the following procedure:

- the transfer of the doctoral student within the university is carried out only within the framework of one Group of educational programs (hereinafter GOP) with the preservation of the state grant;
- the doctoral student submits the transfer application to the curator of the Vice Rector.

## **18 State scholarship**

18.1 The procedure for appointing and paying a State scholarship to a doctoral student on the basis of a State educational grant and the amount of the State scholarship and its supplements shall be determined with the Rules of Assignment; Payments and amounts of state scholarships to students in educational organizations, approved by the Government of Kazakhstan Resolution 116 of February 7, 2008.

(with changes as of 03.06.2016) more - Rules of payment of scholarships), and other normative legal acts of the Republic of Kazakhstan.

18.2 Doctoral students are awarded a State scholarship for the duration of their studies and are paid regardless of the results of the intermediate certification (examination session) during the entire period of study.

18.3 While doctoral students are on parental leave until they reach the age of three, there is no state grant.

Doctoral students who have returned from academic leave, the appointment and payment of the state scholarship is carried out in accordance with the procedure of the forthcoming (regular) examination session and provided that there is no difference in the curriculum.

18.4 The office of the registrar issues an order «On the appointment of scholarships».

18.5 Scholarships are paid by crediting scholarships to a current account opened by a doctoral student in a bank.

18.6 State scholarships are discontinued:

- in case of expulsion of a doctoral student from the University, regardless of the reasons for expulsion;
- in the event of the death of a doctor;
- after completion of studies from the date of issue of the expulsion order.

## **19 Tuition fees**

19.1 The cost of tuition at the University is determined by a decision of the Board of Directors.

The amount of tuition fee is set in the contract for the provision of paid educational services, concluded between KazNRTU and doctoral student before the beginning of studies at the University (before the beginning of the academic year). The party to the contract may also be a legal entity (or individual entrepreneur), acting as the Customer of doctoral education and paying for its training.

Without the conclusion of a contract, tuition and the issuance of an order on restoration, the doctoral student is not allowed to study.

An exception to this rule can be doctoral students, in respect of which KazNRTU received warranty letters from organizations - Training Customers, confirming the Customer's obligation to make payment for doctoral student training in the current academic year.

19.2 Tuition fees are paid in accordance with the procedures and time limits established by the educational services contracts. Payment for the summer semester is made before the beginning of registration for the discipline of the respective module.

19.3 In case of non-payment, a doctoral student may be excluded from registration and/or removed from registration for a discipline (regulated by the Office of the Registrar).



If there is a arrears of payment, a doctoral student may also be excluded from the University's internal resources (library, portal, etc.).

19.4 In case of non-payment of arrears on payment before the beginning of the current examination session doctoral student is not allowed to pass exams/credits. At the same time, the final exam is evaluated by «GH», which is an academic debt and attracts the doctoral student to repeat disciplines(s) on a paid basis.

19.5 If there is a debt for the payment of tuition from a doctoral student at the time of withdrawal/graduation of the university, the official transcript, the documents provided at the admission of the university admissions commission and/or other documents on education, are not issued until payment arrears are fully paid.

19.6 The established cost of training includes the cost of the minimum number of credits required by the vocational training curriculum. In the case of registration for loans in excess of the specified amount (including the grades, the discipline of difference of study plans for transferring/recovering doctoral students), the doctoral student makes an additional payment in the amount established by the internal documents of the University, valid at the time of payment.

19.7 In the event that a doctoral student has not been registered for academic semester or has registered for a number of credits below the established curriculum or has not attended any of the disciplines registered, The tuition fee set by the contract is not subject to change, and the money paid under the contract for unregistered/missed disciplines is not returned.

19.8 In the event of failure to use the funds paid under the contract during the current school year (including the summer semester), the money for the doctoral student is not returned and is not credited for the next year of study.

## **20 Rewards and disciplinary measures**

20.1 For excellent academic performance, active participation in research work, public life or the work of structural divisions of the University, taking prizes in various types of Olympiads and competitions for doctoral students can be applied the following measures:

- Declaration of thanks;
- Awarding the diploma/ medal «For significant contribution to the development of KazNRTU»;
- letters of thanks;
- nominal scholarships of various companies or scholarships of KazNRTU;
- awarding valuable gifts;
- the right to study at a reduced cost.

20.2 The procedure for awarding a doctoral student a personal scholarship and/or granting him the right to study at a reduced cost, as well as the criteria for taking such decisions, are determined by internal documents of the University.

20.3 For committing disciplinary offences: violation of academic discipline, non-compliance with the requirements of these Rules, Internal Regulations, Code of Ethics, Charter, other normative acts of KazNRTU, the conditions of the concluded contract for training and the requirements of the legislation of the Republic of Kazakhstan, the doctoral student may be applied the following types of disciplinary sanctions:

- remark;
- reprimand;
- severe reprimand;
- expulsion from the University.

For violation of the established rules (rules) of residence in a hostel, a doctoral student may also be disciplined in the form of eviction from a hostel.

The disciplinary measure applied depends on the severity of the offence committed and the previous conduct of the doctoral student (the presence of other sanctions for the period of study at the University).

20.4 Disciplinary measures shall be applied immediately if an offence is found, but not later than one month from the date of its discovery and not later than six months from the date of the offence. The period of imposition of disciplinary punishment shall be suspended for a period of time: the absence of a doctoral student from the University due to temporary incapacity for work, travel on mission, on vacation, during the session.

20.5 The Rector's Order on the application of disciplinary punishment to the doctoral student is issued on the basis of the decision of the Disciplinary Commission or on the basis of the submission of the head of the structural division of the university, which carries out educational work (Institute Directorate, Department, Office of the Registrar, Department for educational work, etc.), other officials of KazNRTU.

The order on the application of disciplinary punishment is declared to the doctoral student, subject to punishment, under a mural or (if it is impossible to personally acquaint the student with the order) sent to the place of residence of the doctoral student with a letter with notification or e-mail.

If the doctoral student refuses to confirm with his signature the acquaintance with the order, the Directorate of the Institute shall make a corresponding entry on the list of acquaintance with the order.

20.6 Before disciplinary action is taken, a written explanation must be requested from the doctoral student. The refusal of the doctor to give an explanation cannot be an obstacle to the application of the penalty. In the event of refusal to provide the said explanation, a report shall be drawn up.

20.7 The period of disciplinary punishment imposed on a doctoral student is during the academic year in which the penalty was applied (until the beginning of the next academic year).

The applied measures of encouragement and disciplinary sanctions are recorded in the personal files of doctoral students, notes on their application are entered in the academic transcript of the doctoral student.



20.8 The University informs the Doctoral Training Commissioner of the application of incentives/disciplinary measures to the student. By decision of the administration of the University, relevant information may be brought to the attention of relatives.

## **21 Crediting credits generated through mass open online courses (MoE)**

21.1 The University, taking into account the opinion of the Department accepts to the restart of the discipline (both mandatory and elective cycle in the prescribed amount of credits) attended by students through a mass open online course (hereinafter - MEP) according to the approved list of platforms, for postdoctoral transcripts.

21.2 In order to restart the discipline, the doctoral student must attach to the application a validated certificate of completion of the MoE discipline, indicating the volume of the course in hours or credits and the assessment received.

21.3 In the event that the name of the discipline passed by the MoE differs from the name of the compulsory course of the University, the conclusion of the department is also required on the replacement of the discipline by the passed MoE.

## **22 Employment of PhD Doctors**

Citizens of the Republic of Kazakhstan, who have entered doctoral studies under the program of Doctors of Philosophy (PhD) (further doctoral students) on the basis of the state educational order (further - Doctor of Philosophy (PhD)), shall be trained by the OHPE or scientific organizations for at least three years after completion of the training.

22.2 The Doctor of Philosophy (PhD) shall work in proportion to the time of their actual training on the state educational order after completion of the OHPE within the period stipulated in this paragraph, in cases of:

- 1) Transfer from tuition on a fee-paying basis to training on a State educational order;
- 2) Transfer from training on a State educational order to tuition on a fee basis;
- 3) VMBO deductions subject to subsequent reinstatement during the current or following school year.

22.3 For the purpose of posting PhD Ph.D (PhD) their personal distribution.

22.4 Commissions on personal distribution of young specialists (hereinafter - distribution commissions), which start their work from the date of approval of its composition, are permanently active and are established annually: in which doctoral students complete their studies for their personal assignment to work.

22.5 The regulation on distribution commissions is approved by the competent bodies in the field of education and health (hereinafter referred to as authorized bodies).

22.6 Doctoral students who have completed their training this year, no later than September 1, arrive at the place of work on the direction.

22.7 Local executive body of the region, the city of republican significance and the capital:

1) after the arrival of the doctoral students, within a month send the operator of the authorized body in the field of education a confirmation of arrival, according to the distribution with information on the place of work and the type of social assistance provided (if available);

2) Annually, by 1 September, send to the operator of the authorized body in the field of education lists of doctoral students working since 2012;

3) Submit information on the dismissal of doctoral students and supporting documents to the authorized body in the field of education.

22.9 The personal assignment of the Doctor of Philosophy (PhD) is carried out on the basis of the submitted documents and on the basis of the information provided by the authorized bodies, according to the requests of the OHPE, state bodies and scientific organizations on the need for personnel.

22.10 In the personal assignment of the Doctor of Philosophy (PhD), account is taken of:

- 1) the place of permanent residence or of preferred settlement;
- 2) GPA of the graduate;
- 3) Applications by employers;
- 4) the existence of circumstances permitting priority distribution as provided by the Act and the Regulations;
- 5) The existence of circumstances established by the Act and/or the Regulations exempting from the duty of working off or granting a delay in the performance of the duty of working.

22.11 When a Doctor of Philosophy (PhD) is commissioned or called up for military service, he is granted a deferment for the duration of his service without taking into account the length of his service.

22.12 If there are no job vacancies at the time of distribution, the Doctor of Philosophy (PhD) is sent by the placement commissions to be registered as job-seekers at the local employment centre or through the web portal "e-government" or the State Corporation "Government for Citizens" with credit for the time of being registered as unemployed during the period of employment.

22.13 The Doctor of Philosophy (PhD), after receiving an application for registration as a job seeker, apply for assistance in finding a job no later than 1 September of the year of completion of the training and register as a job seeker, according to the procedure, under the legislation on employment.

22.14 If there are no job vacancies in the region, corresponding vocational training and specialties of citizens, Doctor of Philosophy (PhD) and who have registered with employment centers, local employment agencies are offered, Job-seekers have the opportunity to find employment in other regions, taking into account data on the labour market database contained in the information portal "Electronic Labour Exchange".

22.15 Spouses who have completed their studies at the VMBO at the same time are given employment in organizations located in the same locality. If one of



the spouses completes the education earlier, it shall be distributed on a common basis. In this case, the spouse (spouse) who has completed (aya) education later has the right to priority distribution in the workplace of the spouse(s).

22.16 Meetings of the commissions for the distribution of graduates of the current year are held annually, not earlier than June 1, in a full-time or remote format.

Doctor of Philosophy (PhD), allowed to participate in the meetings of the respective distribution commissions on the basis of applications submitted to the respective distribution commission until June 1 of this year.

22.17 The Doctor of Philosophy (PhD), who does not appear without a valid reason before the appropriate distribution commission, is allocated without their presence.

22.18 The personal distribution of doctoral students who complete their studies in the current year is formalized by a protocol decision of the respective distribution commission every year, no later than 1 July, on the basis of which the Office prepares referrals for work in the form, in accordance with the annex to these Regulations. In this case, the PhD doctoral/doctoral students are notified of their distribution by the OHPE by issuing work assignments no later than three working days after the adoption of the protocol decision.

It is permitted to issue a protocol decision of the corresponding distribution commission in the form of an electronic document certified by electronic digital signatures of the members of the distribution commission present at the meeting.

22.19 The term of work of doctoral/PhD students shall be calculated from the date of conclusion of an employment contract with employers.

22.20 Every year, no later than 15 August, OHPE shall send all distribution materials to the operator of the authorized education authority within 15 calendar days from the date of the protocol decision on distribution.

22.21 Granting the right to self-employment

The exemption from the duty of working out stipulated by the Law is granted by the decision of the Commission on Personal Assignment of Doctors of Philosophy (PhD) of the following categories:

- 1) persons who do not have vacancies in the locality of residence, work or service of the spouse(s);
- 2) Persons with disabilities in groups I and II;
- 3) Pregnant women, persons with and independently raising a child (children) under the age of three.

22.22 The termination of the duty of working off provided for in the Act, without compensation for expenses incurred at the expense of budgetary funds related to training, is effected by:

- 1) in connection with the performance of the duty of work;
- 2) in connection with the death of the student (young specialist, PhD (PhD)), supported by relevant documents;
- 3) In the event that a disability of Group I and Group II is established during the working period;

4) in connection with the discharge from the duty of working off in the cases provided by the Law and Clause 14 of these Rules.

22.23 Ensuring the monitoring and control of compliance of doctors of philosophy (PhD) with their duties to work out or refund expenses of budget funds in case of failure to work out is the responsibility of the operator of the authorized body in the field of education.

The operator of the authorized body in the field of education within the limits of its competence:

1) in order to monitor the performance of the duties of the exercise, forms and maintains a database on young professionals and PhD (PhD), ensures the storage of submitted documents;

2) With the assistance of the local executive bodies of oblasts, cities of national importance, the capital and the authorized body in the field of education, monitor the implementation of decisions of the distribution commissions;

3) In the event of a breach by young professionals and doctors of philosophy (PhD) of the duty of work as stipulated by the Law, shall take measures to ensure that they reimburse to the budget the cost of their training.

22.24 In the event of failure to comply with the duty of work performed in accordance with article 47, paragraph 17, of the Act, the PhD (PhD) shall reimburse the expenses incurred from the State budget in connection with their training, commensurate with the period actually worked, except in cases; Article 47, paragraphs 17-2 and (or) 17-3 of the Law, to the budget through the operator of the authorized body in the field of education.



## Rating translation system for 4 and 100 grades

Points on 100 points scale	Points on a 4-point scale
95-100	Excellent (5)
90-94	
85-89	Good (4)
80-84	
75-79	
70-74	
65-69	Satisfactory (3)
60-64	
55-59	
50-54	
0-49	Unsatisfactory (2)

## Cover letter

Answer the suggested questions. The answers must be clear, complete. The replies should not exceed 1.5-2 pages.

- 1 What are your professional goals?
- 2 Why do you think that doctoral studies PhD will help you realize your professional goals?
- 3 In what field are you planning to conduct research? Give us a rough idea of the topic and the research plan.

Structure of substantiation in the form of an autoabstract:

Intro

1. Overview of your future work
2. Relevance of the research topic
3. Status of the topic
4. Subject of study
5. Subject of study
6. The purpose of the thesis study
7. Tasks of thesis research
8. Methodological basis of the study
9. Theoretical framework for research
10. Normative research basis
11. Scientific novelty
12. Theoretical significance of thesis research
13. Practical significance of the thesis study
14. Empirical basis of research
15. Validation of the study

4 The main part consists of sections which consist of subsections

5 Opinion

Explanation: The justification in the form of an autoabstract is in the form of a brochure in Russian or Kazakh. The scope of justification in the form of an autoabstract does not exceed 16-25 pages. for technical specialties 10-16 pages.



Table 1 - Content of doctoral education

p/p	Name of the cycles of disciplines and activities	Total labour intensity	
		in academic time	on academic credit
1	2	3	4
1.	Theoretical training	1350	45
1.1	Basic Disciplines Cycle (OBD)		
	1) Academic writing		
	2) Research methods		
1)	University component and (or) optional component		
2)	Educational practice	At least 300	At least 10
1.2	Cycle of Major Disciplines (PoA)		
1)	University component and (or) optional component		
2)	Research practice	At least 300	At least 10
2	Doctoral research (DID)	3690	123
1)	Doctoral research, including internship and doctoral thesis		
3	Supplementary Training (FEB)		
4	Final Certification (IA)	360	12
1)	Writing and defending a doctoral thesis	360	12
	Total	At least 5,400	At least 180

**Table 1 - Translating ECTS Assessments into a Point-Rating System for Assessing Learning Achievement of Students**

<b>Assessment on ECTS</b>	<b>Letter grade</b>	<b>Digital equivalent points</b>	<b>% content</b>	<b>Traditional system rating</b>
A	A	4,0	100	Perfectly well
IN	B+	3,33	85	All right
WITH	IN	3,0	80	
D	WITH	2,0	65	Satisfactorily
E	D	1,0	50	
GH, GH	GH	0	0	Unsatisfactorily

**Table 2 - Translating the ratings of the rating system into ECTS**

<b>Letter grade</b>	<b>Digital equivalent points</b>	<b>% content</b>	<b>Traditional system rating</b>	<b>Assessment on ECTS</b>
A	4,0	95-100	Perfectly well	A
A-	3,67	90-94		
B+	3,33	85-89	All right	IN
IN	3,0	80-84	All right	WITH
B-	2,67	75-79		
C+	2,33	70-74		
C	2,0	65-69	Satisfactorily	D
C-	1,67	60-64		
D+	1,33	55-59		
D	1,0	50-54	Satisfactorily	E
GH	0	0-49	Unsatisfactorily	EXACTLY



**Change sheet** \_\_\_\_\_  
*to the document*

Change sequence number	Section, paragraph of the document	Type of change (replace, cancel, add)	Notice number and date	Revision made	
				Date	Name and initials, signature, job title