 SATBAYEV UNIVERSITY	<b>NON-PROFIT JOINT STOCK COMPANY “KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY NAMED AFTER K.I. SATPAYEV”</b>	
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**REGULATIONS ON FORMING THE PERSONNEL RESERVE  
of KazNRTU**

**R 029-06-05.3.01 – 2022**

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## **PREFACE**

English translation prepared by HR Service of NJSC "Kazakh National Research Technical University named after K.I. Satpayev"

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## 1 General provisions

1.1 The given Regulations "On Personnel reserve" (hereinafter Regulations) define the procedure, principles and requirements for the process of forming the personnel reserve of NPJSC "Kazakh National Research Technical University named after K.I.Satpayev" (hereinafter KazNRTU).

1.2 Regulations apply to the positions of all senior KazNRTU employees belonging to "administrative and managerial personnel", "teaching staff", "training and support staff", "service personnel" categories.

1.3 Regulations define the procedure, principles and criteria for selection of KazNRTU employees when including the candidates in the personnel reserve for senior positions of KazNRTU.

1.4 Main objectives of forming the KazNRTU personnel reserve are:

- rational placement of personnel and optimal use of the professional potential of employees, ensuring the effective solution of tasks assigned to KazNRTU;
- operational replacement of key positions at the expense of internal resources of KazNRTU;
- formation of highly qualified managerial and teaching staff capable of effectively solving the tasks facing KazNRTU;
- stimulating the professional growth of KazNRTU employees and increasing the motivation for professional and career growth;
- improving the management efficiency of University's structural units;
- reduced staff turnover.

1.5 Main tasks of the personnel reserve are:

- formation of the personnel reserve;
- development of managerial skills and abilities among employees of the personnel reserve, obtaining the additional knowledge and increasing the level of special training;
- personnel stability and retention of experienced personnel;
- assessment of the readiness of the personnel reserve for nomination.

1.6 Principles of selection to the personnel reserve:

- the objectivity of assessing the business qualities and professional performance of candidates for the personnel reserve;
- professionalism and competence of KazNRTU employees included in the personnel reserve, fulfillment of their obligations to KazNRTU;
- creation of conditions for professional growth of KazNRTU employees; - equal access and voluntary participation in the competition for inclusion in the personnel reserve;
- openness in working with the personnel reserve;
- the candidate's prospects (orientation towards professional growth, education, age, length of service in the position and career dynamism);
- voluntary inclusion and membership in the personnel reserve;

1.7 Management of forming the personnel reserve, decision-making on the inclusion and exclusion of staff candidates from it is carried out by Board Chairman - Rector of KazNRTU.

1.8 Organization of work with the personnel reserve is carried out by Personnel Commission, the personal composition of which is approved by the order of Board Chairman - Rector. The frequency of meetings is at least twice a year.

1.9 Personnel Commission includes vice-rectors, directors of institutes, heads of departments, heads of structural divisions of the administrative and managerial staff of KazNRTU. HR Director manages the HR Commission.

1.10 The current work on forming the personnel reserve, making changes to it is carried out by HR Service at KazNRTU.

1.11 Annually, in accordance with University Development Program, KazNRTU budget provides for financing the activities of the personnel reserve in the following areas:

- organization of professional growth and internships for employees included in the personnel reserve;
- participation of employees included in the personnel reserve in conferences, including international ones;

1.12 When vacancies appear from the list of key positions, candidates from the personnel reserve are considered first.

1.13 The given Regulations are mandatory for application in all structural divisions at KazNRTU.

## **2 Regulatory references**

The following normative legal acts are used in the given Regulations:

- Constitution of the Republic of Kazakhstan dated 30.08.1995;
- Law of the Republic of Kazakhstan "On Joint-Stock Companies" dated May 13, 2003 No. 415-II;
- Law of the Republic of Kazakhstan "On Education" dated July 27, 2007 No. 319-111;
- Law of the Republic of Kazakhstan "On Science" dated February 18, 2011 No. 407-IV;
- Law of the Republic of Kazakhstan "On Combating the Corruption" dated November 18, 2015 No. 410-V;
- Law of the Republic of Kazakhstan "On Languages in the Republic of Kazakhstan" dated 11.07.1997 No. 151-I;
- Labor Code of the Republic of Kazakhstan No. 414-V dated November 23, 2015;
- Decree of Minister of Science and Higher Education of the Republic of Kazakhstan "On approval of qualification requirements for educational activities of organizations providing higher and (or) postgraduate education, and a list of documents confirming compliance with them" No. 4 dated 05.01.2024;
- Decree of Minister of Labor and Social Protection of Population of the Republic of Kazakhstan "On approval of qualification directory of positions of managers, specialists and other employees" No. 553, dated 12/30/2020;
- Charter of KazNRTU;
- Personnel policy of KazNRTU named after K.I.Satpayev;

- Development strategy for 2022-2026;
- Internal Regulations Decree 029-06.11-2-01-2016;
- KazNRTU Quality Policy;

### 3 Abbreviations and terms

The following abbreviations and terms are used in Regulations:

**personnel reserve** is a group of KazNRTU employees who demonstrate managerial abilities, have passed pre-selection and systematic targeted qualification training in order to fill vacant positions and promote to positions of teaching staff, administrative, managerial and scientific staff of University.

**TS** – teaching staff;

**AMS** – administrative and managerial staff;

**TSS** – training and support staff;

**MS** – maintenance staff.

### 4 Basic principles of forming the personnel reserve

4.1 The personnel reserve is formed annually based on the results of the work of Personnel Commission, taking into account the forecast of current and future personnel needs.

4.2 The number of personnel reserves is formed at the rate of at least 2 (two) candidates for one position for each category of senior positions. It is allowed to enroll one employee in the personnel reserve for different, but not more than two, senior positions.

4.3 KazNRTU's personnel reserve is formed from the following sources:

- operational personnel reserve – candidates from among qualified KazNRTU employees who are currently ready for appointment to temporarily replace an existing key position (formed on the recommendation of structural divisions' heads) / or from among employees who already replace higher-level managers and are ready to take higher positions without any additional training;

- promising talent pool – candidates from among employees with high potential, but in need of additional training, who can occupy vacant key positions in the long term;

- The external personnel reserve consists of employees of third-party organizations selected as candidates for senior positions at KazNRTU. It is formed if there is a high staff turnover at KazNRTU for some reasons.

4.4 Requirements for candidates to the personnel reserve are formed on the basis of competence model of the head (Appendix 1). The following requirements are common to all candidates for inclusion in the prospective personnel reserve:

- higher professional / or postgraduate education;
- work experience in KazNRTU for at least 2 years;
- age up to 50 years;
- possession of the necessary office programs and applications;
- positive results of work in the position;

- experience of participation in elaboration, adoption, and implementation of management decisions;
- knowledge and acceptance of the mission, strategy and policy of KazNRTU;
- knowledge of a foreign language at the level not lower than B2.

## **5 Procedure for nomination and selection of candidates for the personnel reserve**

5.1 The selection of candidates for the personnel reserve is announced by the decree (order) of Board Chairman - Rector. Personnel Commission, together with HR Service, posts information on the work on forming the personnel reserve, application forms, questionnaires for candidates to the personnel reserve and a list of necessary documents at KazNRTU website.

5.2 Formation of the personnel reserve is carried out in 3 (three) stages:

5.2.1 **The first stage** – Board Chairman - Rector, vice-rectors, heads of structural divisions send to HR Service the candidates to be included in the personnel reserve or self-nomination of KazNRTU due to submitting an application. Candidates for inclusion in the personnel reserve within 14 days from the date of publication of the announcement provide the following documents to HR Service:

- a. personal application or statement of the head (Appendix 2;3);
- b. a 3\*4 color photo (2 pcs.);
- c. A hand-filled and signed questionnaire (Appendix 4);
- d. a recommendation(s) in writing;
- e. certificates of professional training/retraining;
- f. other documents submitted at the request of the applicant.

5.2.2 **The second stage** - the processing of submissions from heads of structural divisions, applications from candidates and the design of a draft personnel reserve by job categories (TS, AMS, TSS, MS) and the study of candidate materials (personal data, documents on education, advanced training, recommendations, submissions, etc.). by Personnel Commission together with HR Service. Development of the composition and content of evaluation activities (assessment of professional activity in a position, an interview to identify aspirations, motives of behavior, needs and other information relevant to making a decision on inclusion in the reserve);

5.2.3 **The third stage** - the formation by Personnel Commission, together with HR Service, of a list of candidates (Appendix 5) for inclusion in the personnel reserve on the basis of submissions / applications.

5.3 Approval of the personnel reserve by the decree of Board Chairman - Rector.

5.4 The refusal of a candidate to participate in evaluation activities is the basis for rejecting their candidacy when forming a personnel reserve.

## **6 Training the promising personnel reserve**

6.1 The task of training the personnel reserve is to improve the professional skills and abilities of the persons included in the reserve, necessary for filling the senior positions of KazNRTU.

6.2 Working with the personnel reserve includes:

- identification of personal and business qualities necessary for filling the managerial positions;
- formation and approval of the Program for training the reserve of University management personnel;
- development of individual training plans for persons included in the management personnel reserve;
- coordination of professional training and advanced training of personnel in the reserve;
- planning the professional and professional advancement of persons suitable for a higher-level position.

6.3 To implement an individual approach to training, the persons included in the personnel reserve make up a personal training plan (Appendix 6). The personal training plan includes specific measures to acquire and consolidate the knowledge, skills and abilities necessary for future work. The responsibility for implementing the personal training plan is borne by the person who is in the personnel reserve.

6.4 The head of the structural unit where the reservist works or studies is responsible for creating the necessary conditions for the reservist to fulfill their personal training plan.

6.5 The training is conducted through advanced training and retraining courses.

6.6 In order to form organizational and managerial skills of an employee included in the personnel reserve, a structural unit's head may involve them to perform specific managerial work, including assigning the responsibilities to them during his/her absence.

## **7 Monitoring the work with promising personnel reserve**

7.1 With the purpose to ensure the control, accounting and effective use of the personnel reserve, HR Department draws up and maintains a list of persons included in the prospective personnel reserve.

7.2 Employees who are members of the prospective personnel reserve are excluded from it in the following cases:

- personal statement of exclusion from the reserve;
- the occurrence or establishment of circumstances preventing the continuation of the reserve and appointment to a senior position;
- bringing to disciplinary responsibility;
- layoffs;
- systematic non-fulfillment of the measures provided for by the measures for the preparation of a promising personnel reserve. The decision to exclude a person



from the prospective personnel reserve is made by the decree of Board Chairman - Rector.

## **8 Assessment of the candidate's readiness for inclusion in the prospective personnel reserve**

8.1 Personnel Commission, with the participation of the department head, evaluates the readiness of an employee included in the prospective personnel reserve and is mandatory for all candidates for the relevant positions, except for vice-rectors.

8.2 Procedure for evaluating the readiness of employees for the planned position includes:

- individual interviews with candidates to assess the level of qualification, individual qualities, professional development, work experience, attitude to work and relationships in the workforce.

8.3 The evaluation of candidates for admission to the personnel reserve is carried out using the methods and forms listed in Appendix 1

8.4 Based on the results of evaluation activities, Personnel Commission determines the degree of readiness of the employee included in the personnel reserve and makes one of the following decisions:

- the employee is ready for appointment to the planned position;
- the employee is not ready for appointment to the planned position and should be removed from the prospective personnel reserve;
- the employee is not ready for appointment to the planned position and their training should be continued.

### **The list of key positions for the formation of a promising personnel reserve**

1. Director of Finance and Accounting Department - Chief Accountant;
2. Directors of Institutes
3. Deputy Directors of Institutes
4. Heads of departments
5. Heads of structural divisions (directors of departments / services / laboratories, heads of departments, heads of centers, heads of sectors, etc.)

## Appendix 1

**Competency models of the head**

<b>№</b>	<b>Clusters</b>	<b>Competencies</b>	<b>Definitions</b>
1	Business competencies	Professionalism	He/She knows the trends and patterns of development of educational services and the labor market in the professional industry, is aware of the actions of competitors
			He/She successfully applies professional knowledge and experience to solve scientific, educational and production tasks, masters modern technologies, including information, applies innovative methods
		1.2. Result orientation and improvement of its quality	He/She effectively plans work and allocates resources, sets appropriate tasks, methods and deadlines for its solution, contributing to the achievement of results
			He/She establishes the necessary forms and methods of control over processes, people and tasks. He/She initiates work to maintain control
			He/She achieves the set goal, despite the difficulties, understands the connection of their actions with the achievement of the goals of University
			He/She has high internal standards of work quality; sets ambitious but achievable goals; strives to improve, improve its effectiveness and efficiency
			He/She sets quality standards for themselves and others; monitors the performance and compliance of their activities and those of their subordinates with quality standards
		1.3. Ability to delegate	He/She distributes responsibility and authority for decision-making to the relevant subordinates, providing the necessary degree of motivation and support for their implementation
		1.4. Establishing the connections (targeting the consumer of	He/She understands and takes into account the needs of each consumer of educational services, follows agreements, and is responsible for

		educational services)	the obligations assumed to him/her; warns the needs of the consumer of educational services
		1.5. Decision making and problem solving	He/She builds long-term partnerships with colleagues and consumers of educational services; effectively summarizes, structures and analyzes the necessary information for an informed solution to the problem' makes rational decisions and is personally responsible for them
			He/She warns and solves problems in a timely manner, determines ways to solve them, acts as an intermediary in conflict resolution
2	Leadership competencies	2.1. Team management	He/She Attracts like-minded people to the team, forms a team spirit, a positive attitude to teamwork
			He/She Takes into account the different points of view of subordinates, colleagues and managers when making decisions
			He/She applies different styles and approaches to management, changes his own behavior depending on the situation to achieve goals
		2.2. A promising solution	He/She has a vision of the future, forms a concept of development, focusing on changes in the external and internal environment, warns needs
		2.3 Innovation (creativity)	He/She offers innovative solutions to the tasks set, applies new, original approaches, improved methods, and is ready to challenge the traditional point of view
			He/She develops and implements new and improved methods, algorithms and technologies to improve operational efficiency
3	Personal (individual) competencies	3.1 Emotional self-control	He/She controls their behavior, avoids emotional outbursts and is able to see the positive sides in negative phenomena
			He/She feels confident when interacting with other people
		3.2 Development orientation	He/She strives for self-improvement, self-development, constantly improves his

			qualifications, professional knowledge and skills
			He/She creates an environment for the development of subordinates, creates conditions conducive to creativity and innovation in professional activities
		3.3 Ability to reflect	He/She is able to critically evaluate himself and draw practical conclusions for his activities
		3.4 Interpersonal understanding and respect	He/She understands people and circumstances, as well as their impact on them. He/She is able to see events and problems from the perspective of others
			He/She strives to be a full-fledged member of the team, to contribute to work that is not necessarily personally interesting to them; expresses willingness to help colleagues
			He/She builds productive interaction and correct relationships with subordinates, colleagues, and consumers of educational services

## Appendix 2

**To Board Chairman - Rector  
of NPJSC «Kazakh National Research  
Technical University named after K.I. Satpayev»**

from \_\_\_\_\_  
(position)

\_\_\_\_\_  
(main place of work)

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

**APPLICATION**

I ask you to consider my candidacy for inclusion in the  
prospective (operational) personnel reserve for the position

\_\_\_\_\_  
(name of the position)

«\_\_» \_\_\_\_\_ 202\_\_.  
(signature)

## Appendix 3

**To Board Chairman - Rector  
of NPJSC «Kazakh National Research  
Technical University named after K.I. Satpayev»**

from \_\_\_\_\_

(position)

\_\_\_\_\_  
(main place of work)

Full name

### SUBMISSION

\_\_\_\_\_  
(last name, first name, patronymic)

(position, name of the structural unit, academic degree, academic title) It is submitted for  
inclusion in the prospective (operational) personnel reserve for the position  
\_\_\_\_\_ (name of the position)

#### Grounds for submission

\_\_\_\_\_  
(assessment of the professional activity, business and moral qualities of the candidate  
recommended for inclusion in the personnel reserve)

\_\_\_\_\_  
(position of the head)

(signature)

(decryption of the signature)

«\_\_» \_\_\_\_\_ 202\_.

(date of signing)

#### AGREED:

\_\_\_\_\_  
(position of the employee included in the personnel) (signature)

(decryption of the signature)

## Appendix 4

**QUESTIONNAIRE FOR THE PERSONNEL RESERVE**

Full name, date of birth		photo
	«_»_202_.	
Current position		
Structural division		
Academic title		
Academic degree		
E-mail		
Phones		
Address		
Education (university, year of graduation, specialty)		
Professional development (place, date, topic, duration)		
Retraining (place, date, specialty, duration)		
Scientific works, inventions, participation in projects (list scientific works and inventions, indicate participation or management of specific projects)		
Knowledge of foreign languages (language, proficiency level)		
Information technology proficiency (list skills and proficiency level)		
Work, but graduation (date, position and name of the organization)		
Incentives and rewards		
Applying for a position		
Recommendations (who recommends, position and contact phone number)	It must be attached in writing	

**Review of the activity:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 (the recommender's position)

\_\_\_\_\_  
 (signature)

\_\_\_\_\_  
 (decryption of the signature)

«\_»\_202\_.

**Decision of Board Chairman - Rector** \_\_\_\_\_

(to include in the personnel reserve, to refuse to be included in the personnel reserve) «\_»

\_\_\_\_\_ 202\_. Decree № \_\_\_\_\_

## Appendix 5

«APPROVED»  
by Board Chairman - Rector

\_\_\_\_\_ M. Begentayev

«\_\_» \_\_\_\_\_ 202\_.

**INFORMATION**  
**about the persons included in "Personnel Reserve"**

№	Name of the position to be filled	Full name of the candidate	The position to be filled for the period of application submission (list of positions for the last 5лет)	Date of birth	Recommended by whom	Academic degree, year of award	Academic title, year of award	SPE( years )	Advanced training at the time of application (last 5 years)



## Appendix 6

**Personal training plan for an employee included in the personnel reserve for 20\_/20.**

<b>Full name of the</b>	
<b>Position, structural</b>	

**1. Career expectations**

	Employee expectations (up to 12 months)	Employee expectations (3-5 years)	Head's comments
Changing the area of responsibility (position level)			

**2. Action plan for development in the current position for 202\_**

Competencies requiring development	Development activities	Deadline	Control

\_\_\_\_\_ (position of the employee included in the personnel) (signature)

\_\_\_\_\_ (decryption of the signature)

**AGREED:**

\_\_\_\_\_ (Head's position)

\_\_\_\_\_ (signature)

\_\_\_\_\_ (decryption of the signature)

**Conclusion on implementation results of the general training plan for \_\_\_\_\_ year:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Decision of Rector:** \_\_\_\_\_

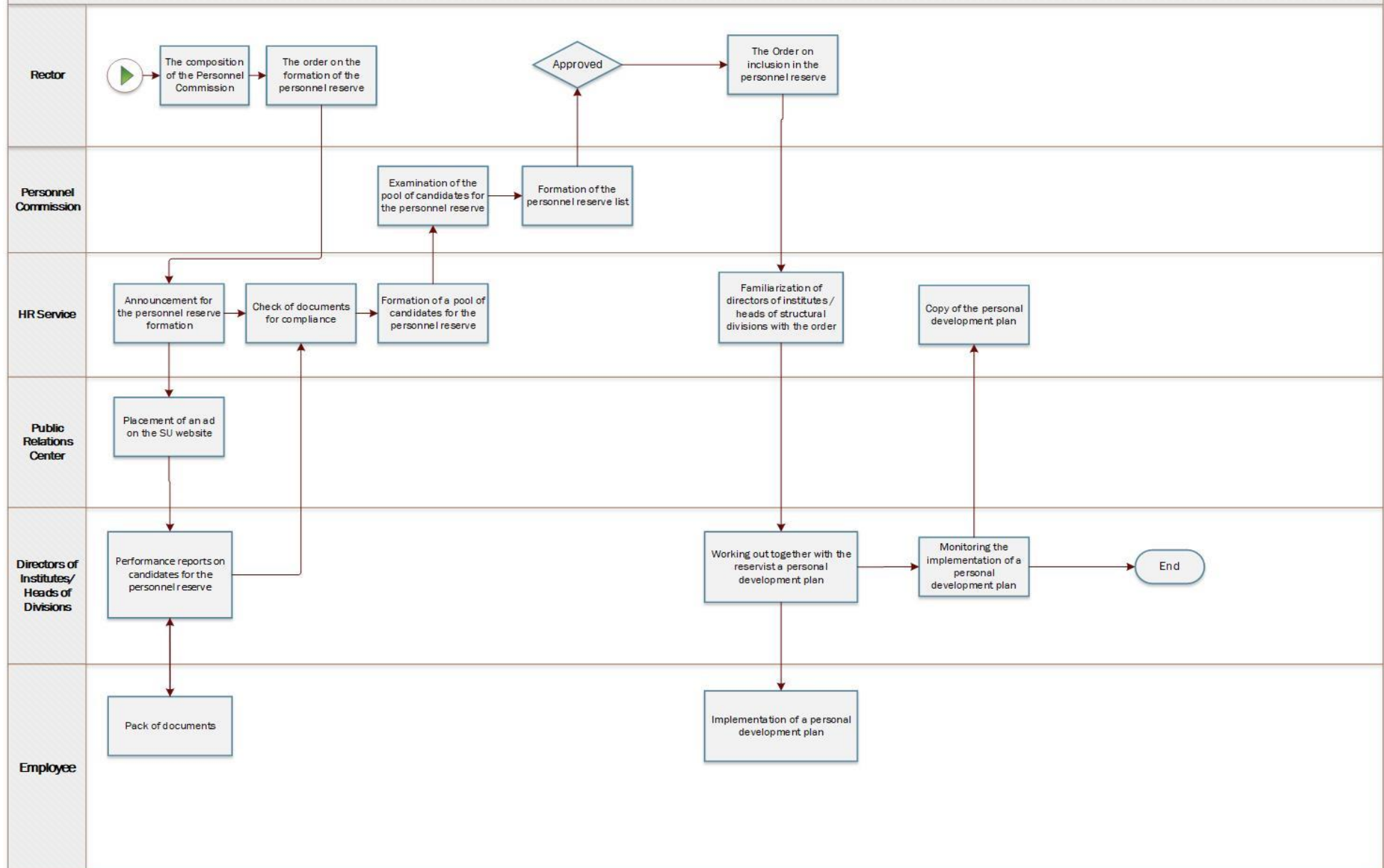
\_\_\_\_\_ (date)

\_\_\_\_\_ (signature)

\_\_\_\_\_ (decryption of the signature)

## Business process flowchart

P 29-06-05.3.01-2022 Formation of the personnel reserve.



## REGISTRATION SHEET ON CHANGES

Serial number of the change	Section, item of the document	Type of the change (to replace, cancel, add)	Notification number and date	The change was made	
				Date	Surname and initials, signature, position
a 2.	title page	cancel	22.06.2023 a 2		Bolgestino J. Ch. manager HR
a 2.	Appendix	add. block-chang	29.07.2024 a 2		Bolgestino J. Ch. manager HR