DOCTORAL



STUDENT'S GUIDE



Institute of Geology, Petroleum and Mining

Institute of Geology and Petroleum Engineering

Institute Directorate: Main Educational Building, Auditorium 325, 8 (727) 320 40 31, 8 (727) 292 79 62.

Director Syzdykov Askar Khamzaevich

Deputy Director Makazhanova Asyl Temirtaevna

Deputy Director Arshamov Yalkhunjan Kamalovich

Educational programs:

8D07205 Geology and exploration of deposits of solid minerals;

8D07206 Geology of oil and gas;

8D05202 Hydrogeology and Engineering Geology;

8D07202 Petroleum Engineering;

8D07104 Petroleum and ore geophysics;

8D07109 Innovative technologies and new inorganic materials;

8D05201 Biological engineering;

8D07107 Chemical engineering of hydrocarbon compounds;

8D07108 Basic processes of synthesis and production of new organic and polymeric materials.

Mining and Metallurgical Institute. O. Baikonurov

Directorate of the Institute: Mining and Metallurgical building (MMK), aud. 232, 8 (727) 320 40 45.

Director Rysbekov Kanay Bakhytovich

Deputy director Kenesbai Zholdasbaevich Aitenov

Educational programs:

8D07306 Geospatial Digital Engineering;

8D07203 Mining Engineering;

8D07204 Metallurgical engineering;

8D07201 Mineral processing;

8D07204 Metallurgical engineering;

8D07103 Materials science and engineering:

8D05301 Applied and engineering physics.

Institute of Automatics and Information Technology

Directorate of the Institute: Main academic building (GUK), aud. 513, 8 (727) 320 40 44, +7 (727) 320 41 34.

Director Raisa Kabievna Uskenbaeva

Deputy director Kulpeeva Zhuldyz Beishenalievna

Educational programs:

8D06101 Software Engineering;

8D006102 Machine Learning & Data Science;

8D06201 Telecommunications;

8D07101 Automation and Robotics; 8D06103 Management Information Systems;

8D06105 Information Security Systems: 8D07105 Biomedical Engineering:

8D07106 Robotics and Mechatronics.





Institute of Power Engineering and Mechanical Engineering

Institute Directorate: Engineering Building (MBC), auditorium 27, 8

(727) 320 40 36.

Director Yelemessov Kasym Koptleuovich

Deputy director Dinara Dzhumabaevna Baskanbaeva

Institute of Power Engineering and Mechanical Engineering.

Institute Directorate: Mechanical Engineering Building (MBC), auditorium 27,

8 (727) 320 40 36.

Director Yelemessov Kasym Koptleuovich.

Deputy director Dinara Dzhumabaevna Baskanbaeva

Educational programs:

8D07112 Electric Power Engineering;

8D06104- Cybernetics and Artificial Intelligence;

8D07111 Digitalization of machine building production; 8D07113 Additive manufacturing;

8D07102 Additive manufacturing;

8D07110 Digital engineering of machinery and equipment;

8D07115 Ground transportation, transportation engineering and technology.

Institute of Architecture and Construction

Directorate of the Institute: Small academic building (MUK), aud. 202, 8 (727) 320 41-37.

Director Bolat Uraikhanovich Kuspangaliev

Deputy Director Zhumadilova Zhanar Orazbekkyzy

Educational programs:

8D07302 Architecture and urban planning;

8D07303 Construction and production of building materials and structures; 8D07305

Construction and production of building materials and structures; 8D07304 Engineering systems and networks.

Project Management Institute

Institute Directorate: Main academic building, Auditorium 415, 8 (727) 320 40 91.

Director Amralinova Bakytzhan Bazarbekovna Deputy Director Abenova Maira Khomarovna

Education programs:

8D04101 Project Management;

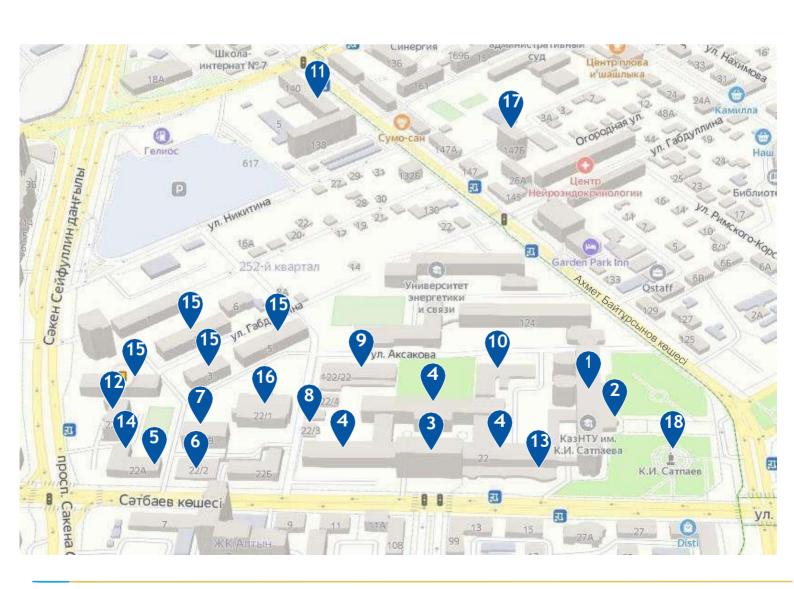
8D04102 Management:

8D11301Transport Services.





- 1. Main academic building (GUK)
- 2. Admissions Committee (PC)
- 3. Petroleum building (HK)
- 4. Mining and Metallurgy Building (MMK)
- 5. Small academic building (MUK)
- 6. Institute of Industrial Engineering
- 7. Mechanical Engineering Building
- 8. Training ground of the Mining and Metallurgical Institute
- 9. Technopark (training and production workshop)
- 10. Thermo building
- 11. Military Building
- 12. Institute of Digital Technology and Technologies 13.
- 13. Registrar's Office (OR)
- 14. Medical Center
- 15. Dormitory 1,2,3
- 16. Fab-Lab
- 17. House of Young Scientists
- 18. Monument to K.I. Satpayev









Contactless plastic card - ID card for doctoral students - a personal document with a photo, which is both a library card and a pass to the University buildings. The ID-card is issued free of charge!

To apply for an ID-card, please contact 902 NK

Preliminary training for the PhD doctoral program

At the "entrance" profile department determines the list of prerequisites required to master the corresponding educational program. If the profile of the educational program of doctoral studies coincides with the master's program, the results of the previous level of education are automatically recognized.

If the profile of the doctoral education program does not coincide with the master's program, the doctoral student before the start of training (or within one year of training) must pass all prerequisites necessary for the development of the relevant educational program of doctoral studies. Mastering of the necessary prerequisites by the doctoral student is carried out on a paid basis.

Payment for the prerequisites is calculated as follows:

- for undergraduate disciplines at the cost of undergraduate credits;
- for the disciplines in the master's program at the cost of credits in the master's program, approved by the decision of the Board of Directors of KazNITU named after K.I. Satpayev.

Structure, requirements for the content of the educational program

The doctoral education program contains:

- 1) theoretical training, including the study of a cycle of basic and major disciplines;
- 2) practical training of doctoral students: various types of professional practices, scientific internships;
- 3) research (experimental-research) work, including performance of doctoral dissertation;
- 4) intermediate and final attestations.

The scientific component of the doctoral education program is formed:

- from the doctoral student's research work (hereinafter RRD),
- scientific publications,
- writing and defending the doctoral dissertation.

Every year at the end of the academic year the doctorate candidate undergoes the academic examination for the fulfillment of the individual plan of work.

ORGANIZATION OF THE EDUCATIONAL PROCESS



Organization of the educational process

The academic year consists of academic periods, whose forms (semester - 15 weeks, trimester - 10 weeks, quarter - 7-8 weeks) are defined by a higher educational institution or an academic organization, the period of the final attestation (at the graduation year).

The full academic load of one academic year corresponds to 60 academic credits and corresponds to 1800 academic hours for one academic year. In this case, during one semester doctoral student learns 30 academic credits.

One academic credit corresponds to 30 academic hours.

Duration of interim certification / final control is at least 2 weeks after each semester (in the semester organization of the educational process).

The thesis is submitted in one of the following forms:

- 1) a thesis;
- 2) a series of at least two articles and one review published in publications in the first and/or second quartile according to Clarivate Analytics' Journal Citation Reports. In one of the articles, the doctoral student is **the first author or first author for correspondence**.

The main scientific results of the thesis for the degree of Doctor of Philosophy (PhD), doctoral candidate on the profile are published before the defense of the thesis in scientific publications included in the List of scientific publications recommended for publication of the main results of scientific activity, approved by the authorized body (Kokson MES RK):

- 1 article in an international peer-reviewed scientific journal with an impact factor according to the JCR or CiteScore score of at least 25 in the Scopus database + 3 articles List of publications of the COSON MES RK
- 1 article in the journal with the JCR impact factor or CiteScore percentile index of no less than 25 in the Scopus database + 1 article in the journal being in the first three quartiles of the JCR database or having the CiteScore percentile index of no less than 50 in the Scopus database, publication of articles in scientific publications, included in the List of the DOESM RK publications is not required.
- in the case of availability of 1 scientific article in the journal included in the first quartile of the JCR base, other publications are not required.

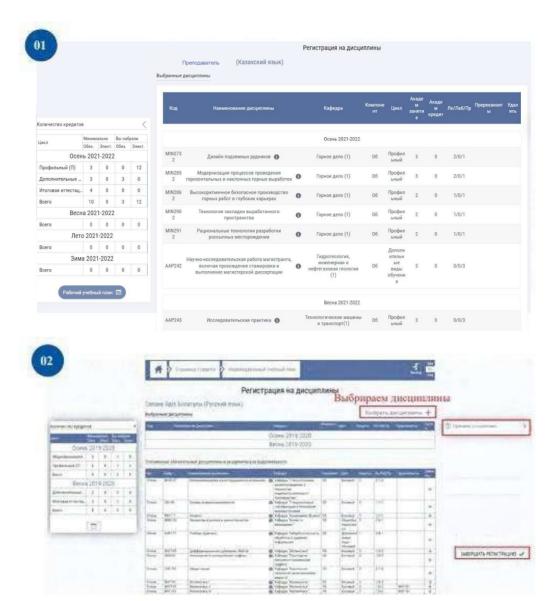
Patents received by doctoral students are counted as publications in scientific publications included in the List recommended for publication of the main results of scientific activity, approved by the authorized body of the RK.

The RUP determines the list of disciplines for the academic year and their labor intensity in credits, the order of study, types of training sessions and forms of control, as well as other types of learning activities (practices, research, EIRD), design and defense of doctoral dissertation). RUP is developed for the entire period of study and approved by the head of the educational organization.

Doctoral students study on the basis of an individual work plan, which is prepared under the quidance of academic advisors.

The doctoral student's individual work plan is drawn up for the entire period of study, **together with the supervisor** and includes the following sections:

- individual study plan (can be refined annually, if necessary);
- research/experimental-research work (topic, direction of research, terms and form of reporting);
 - internship (program, base, terms and form of reporting);
 - the topic of the doctoral dissertation with justification and structure:
 - the plan of the doctoral dissertation;
 - the plan of scientific publications and internships, including foreign ones.



To supervise a doctoral dissertation, a doctoral student is assigned an academic supervisor within two months after enrollment. Scientific supervision is approved by order of the Rector of the University on the basis of the decision of the Academic Council.

Scientific supervision of doctoral students for the degree of Doctor of Philosophy (PhD) is carried out by advisors of at least 2 people, one of which - a scientist from a foreign university.

Scientific supervision is carried out by a teacher with a degree, experience in scientific and pedagogical work of at least three years, which is the author: on directions of training of cadres 8 D 05 "Natural sciences, mathematics and statistics", 8D06 "Information and communication technologies", 8D07 "Engineering, processing and construction industries" **2 articles** in international peer-reviewed scientific journals, which are in the 1st, 2nd, 3rd quartile according to JCR in Web of Science Core Collection or have a **percentile index of not less than 35** on CiteScore or **Hirsch index 2** or more.



All doctoral students have personal accounts on the SU Education portal, Polytechonline.kz portal and Microsoft 365 Education cloud services, united in a single learning system. Logins and passwords in all systems are the same.

Schedule and educational portal

The portal provides doctoral students and faculty with access to electronic teaching materials of disciplines, curricula and individual plans, schedules of classes and exams, news and announcements.





Assessment of doctoral students' knowledge

The didactic activity (knowledge, abilities, skills and competences, including all internships) of the doctorate candidates are evaluated according to a 100-point scale, corresponding to the internationally adopted system of letters and numbers (positive grades, in descending order, from "A" to "D", and "unsatisfactory" - "F "FX") and grades according to the traditional system.

STANDARD GRADES:





«excellent» grade









«good» grade









- «failing» grade





- unsatisfactory grade, which means that the exam must be retaken. In the case of obtaining the grade "unsatisfactory" corresponding to the mark "FX" (10-19 points), the doctoral student has the opportunity to retake the final control without re-taking the program of the study discipline/module. If during the retake of the exam from the grade "FX" the doctoral student was not able to confirm the total threshold level of 50 or more points for the discipline, the grade "F" is given, taking into account at least 20 points for the exam.

- an unsatisfactory grade, which means that the discipline must be studied again on

A grade of F is given in the case of:

- If the learner scored less than 25 points (0-24 points) on the 1st assessment and 2nd assessment:
- in case of failure to appear at the exam without a valid reason; in the case if the grade on the final control (exam) is less than 10 points; In the case of obtaining a grade of "F" on the mandatory component of the discipline, the doctoral student is obliged to retake the discipline (retake) on a fee basis.

During the period of intermediate attestation of the learner is allowed to retake the exam on the discipline (module) no more than two times.

If a grade of FX or F, the equivalent of an "unsatisfactory" grade, is received for the third time, the student is expelled from the university regardless of the number of "unsatisfactory" grades received and loses the opportunity to re-enroll in this discipline.

means "Discipline not completed" and does not count toward the GPA.

The instructor may give a grade of "I" to a student who fails to appear for an exam/ credit for the following reasons:

due to a serious illness (requiring inpatient treatment for more than 5 days);

- in connection with the birth of a child;
- The death of close relatives (close relatives include: parents, children, adoptive parents, siblings, grandparents);
 - Due to a business or study trip.

All of these reasons must be supported by supporting documents. The student must submit a statement to the supervising Provost no later than 3 working days from the date the examination is missed, indicating the reasons for missing the class/exam and attaching the original supporting documents. If the doctoral student is unable to personally submit the application, then the application on his/her behalf may be written and submitted by the parents or close relatives of the doctoral student, or by the student's editors, followed by the submission of supporting documents. The confirming document in case of illness is a medical certificate.

The application is signed by the instructor of the discipline, the director of the institute and the head of the OR. If the reason for missing classes/exams will be recognized as a valid, the student is assigned a grade "I" in compliance with the above conditions.

Otherwise, the student is assigned a grade of "F".







If a student fails to meet all requirements within a set period of time (a week from the end date of the exam), the grade of "I" is transferred to "F", i.e. "unsatisfactory."

Attendance at the exam for doctoral students is strictly mandatory. If the doctoral student, who has completed the program of the discipline in full, did not appear at the exam, in front of him/her in the appearing sheet is a mark of failure to appear. When entering the final grade for the exam in the educational portal, the doctoral student who was absent is given a grade of "F". If there is a valid reason, a grade of "I" (Incomplete) is given with the possibility of taking the exam at a later date.

Staging

As part of the R&D individual plan of doctoral student's work for familiarization with innovative technologies and new types of production, there is a mandatory scientific internship in scientific organizations and (or) organizations of the relevant industries or fields of activity, including abroad.

The period of foreign scientific research training of doctoral students is from 10 to 90 days. Internship should be only one for the entire period.

Internship expenses are reimbursable:

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

Expenses for the internship are allocated in accordance with the calculation of the cost of doctoral studies.

In order to be sent to foreign research training, doctoral students must submit documents to the authorized structural subdivision no later than 4 weeks - near abroad, 6 weeks - far abroad - before the intended date of the assignment according to the following list:

- 1) application to the supervising Vice Rector with the visas of the academic supervisor, head of the department, director of the institute;
 - 2) a presentation by the Director of the Institute to the supervising Vice Rector;
- 3) copy of the letter of invitation for internship from a higher education institution, scientific organization and/or organization on the profile of the specialty. Scientific internship program shall be attached to the letter of invitation:
- 4) plan for scientific internship of the student (detailed), certified by the academic supervisor, head of department and director of the institute;
- 5) cost estimate (memo of the Director of the Institute to the Vice-Rector for Corporate Development and Strategic Planning);

At the end of the research internship, the doctoral candidate must:

- within three working days from the date of arrival, submit a report to the Department of Finance and Accounting with supporting documents;
- within one 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 internship, certified by the supervisor, head of department and director of the Institute.

The report should be attached:

- copy of the certificate (document confirming the mastery of the scientific internship program); an excerpt from the minutes of the department meeting on the results of a doctoral student's research internship.



DOCTORAL STUDENT'S ACADEMIC MOBILITY



Academic mobility of doctoral students

- To ensure the academic mobility of doctoral students study individual disciplines in other educational institutions, including abroad. In this case, between the organizations of education is a bilateral agreement.
- Coordination of academic mobility programs at the University is carried out by the Department of International Cooperation.
- In order to benefit from the diverse educational experience of other educational organizations in the "windows of mobility" determine the time frame, academic disciplines and amount of credits, which a student learns in another institution.
- The order of organization of academic mobility and the selection of doctoral students is carried out by the University.
- In this case, the referral to participate in academic mobility in the framework of statefunded programs is carried out in accordance with the Rules of referral for study abroad, in the framework of academic mobility, approved by the authorized state body.
- To participate in international credit mobility it is necessary to know a foreign language at the level provided by the host educational organization.
- The final document confirming the doctoral student's study under the mobility program is a transcript or its equivalent in the country of residence.
- In the transcript entered information about the training program: the names of disciplines (modules), grades, the number of mastered academic credits.
- Learning outcomes mastered in full by the doctoral student in the framework of academic mobility and confirmed by the transcript, are re-credited by the University in a mandatory manner.
- To ensure the academic mobility of doctoral students and the recognition of educational programs in the European educational space required recalculation of Kazakhstani credits in ECTS credits, according to the Rules of the educational process on credit technology of education.

The expulsion of doctoral students from KazNRTU

- Doctoral students may be expelled from the University:
- - at his/her own will (including in connection with the transfer to another educational institution):
- - for systematic or gross violation of academic discipline, including failure to attend classes without a valid reason for a month or more; violation of the Charter, these Rules, the Rules of Internal Procedure, the Code of Ethics or other regulatory documents of the University; violation of the laws of the Republic of Kazakhstan, the conditions of the contract of study concluded with the University:
- - on other grounds stipulated by these Rules, other internal documents of the University and/or the legislation of the Republic of Kazakhstan.
- Doctoral students wishing to be expelled from KazNRTU must write a statement to the supervising Vice-Rector with a request to expel and submit it to the Directorate of the Institute. Application for expulsion shall be submitted by the doctoral student immediately after the decision to expel from KazNRTU. In case of untimely application for expulsion at his own will when the doctoral student ceases to attend classes at KazNRTU, doctoral student may be expelled at the end of the examination session (academic year) for violation of academic discipline. In this case, the money paid for the training is not refundable.



Procedure for Doctoral Student Reinstatement at KazNRTU

Doctoral student can be reinstated only on a fee basis.

Doctoral student wishing to be reinstated at KazNRTU, submits an application in any form for reinstatement to the supervising Provost of the University with the visa of the Director of the Institute.

The application for reinstatement is attached: the academic transcript, signed by the administration of the university and stamped.

Doctoral students of previous issues who did not appear in time for the defense, at the expiry of the term to defend on a free basis (ie, more than 1 year after the dismissal) must be reinstated in the number of doctoral students, to undergo the pre-defense and defense.

Doctoral students should write an application to the supervising Provost with a request to reinstate him/her in the number of doctoral students for pre-defense and defense, indicating the topic of dissertation research and supervisors. After approval by the University Academic Council, an order is issued.

The following documents shall be attached to the application:

- 1) an application to the supervising Provost with a request to be reinstated as a doctoral student for pre-defense and further defense (pre-signed by the domestic supervisor, the head of the department, the director of the institute);
 - 2) orders of enrollment, dismissal, approval of topic and scientific advisors;
 - 3) copy of the minutes of the department meeting, copy of the institute CA meeting

If three years elapse after graduation, the doctoral candidate is admitted to defense only after a repeated approval of the scientific rationale of his/her dissertation research (research proposal).

Doctoral students should write an application to the supervising Vice-Rector with a request to reinstate him/her in the number of doctoral students for the re-approval of thesis research on thesis topic and to pass the pre-defense and further defense. The following documents shall be attached to the application:

- 1) orders of enrollment, dismissal, approval of the topic and scientific advisors;
- 2) an excerpt from the minutes of the meeting of the department, excerpt from the meeting of the institute's Academic Council

After approval by the Academic Council of the university, the department of postgraduate education on the basis of the extract RS issues an order to restore and approve the scientific justification.

Granting academic leave and academic breaks

When an academic leave of absence is granted to a person studying on the basis of state educational order, the right to further study on the basis of state educational order is retained for him and the financing of his studies is interrupted (with the exception of the financing of expenses provided for the payment of scholarships to holders of grants who are on academic leave according to the established procedure on the basis of the conclusion of the medical advisory commission) for the period of the academic leave granted, which resumes

When an academic leave of absence is granted to a student on a paid basis, payment for tuition shall be suspended for the period of the academic leave of absence.

The academic leave of absence is granted to the student:

on the basis of the conclusion of the medical advisory commission (hereinafter - VKK) duration from 6 to 12 months;





on the occasion of the birth or taking care of a child under the age of three years; on the occasion of conscription into the RK Armed Forces.

To register an academic leave of absence, a student shall submit an application to the Rector and submit a certificate of VKK, a certificate of incapacity for pregnancy or childbirth, or a document on conscription into the RK Armed Forces.

A student who has returned from academic leave before the beginning of the next academic period shall submit an application to the Rector no less than 10 working days in advance to withdraw from the academic leave of absence and submit a certificate from the medical commission on the state of health from the medical organization that observed the patient. On the basis of this, an order is issued within three working days about the student's withdrawal from the academic leave of absence.

If the doctoral student did not come out of the academic leave of absence within the period specified in the order

"On Granting Academic Leave of Absence," the University has the right to expel the doctoral student as not having left the academic leave of absence.

The student who has returned from the academic leave of absence must eliminate the difference in the disciplines of the curricula, if any.

Procedure for Transferring a Doctoral Student within the University

The process of transferring doctoral students within the University follows the following procedure:

- the transfer of the doctoral student within the University is carried out only within one Group of educational programs (hereinafter GEP) with the preservation of the state grant;
 - the doctoral student submits an application for transfer to the supervising Vice-Rector.

State scholarship

The order of assignment and payment of state scholarship to a doctoral student on the basis of the state educational grant, the size of the state scholarship and additions to it are determined with the Rules of assignment, payment and size of state scholarships to students in educational organizations, approved by the Government Decree of RK № 116 of February 7, 2008. (as amended on 03.06.2016) hereinafter - the Rules for payment of stipends), and other normative legal acts of the Republic of Kazakhstan.

Doctoral students are awarded a state stipend for the entire period of study and are paid regardless of the results of the interim certification (examination session) for the entire period of study.

During the period when doctoral students are on maternity leave to care for a child under the age of three years, the state stipend is not assigned.

Doctoral students who have returned from academic leave, the assignment and payment of state scholarship is carried out in accordance with the established procedure according to the results of the upcoming (regular) examination session and provided that there is no difference in study plans.

The Registrar's Office issues an order "On Appointment of Scholarships".

Payment of stipends is carried out by crediting the amounts of stipends to the current account opened by the doctoral student in the bank.

The payment of state scholarships shall be terminated:

- in case the doctoral student is expelled from the University, regardless of the reasons for the expulsion:
 - in case of the death of the doctoral student;
 - after the completion of studies from the date of the expulsion order.





Employment of PhD doctors

Citizens of the Republic of Kazakhstan, who entered the Doctor of Philosophy (PhD) program (hereinafter doctoral students) on the basis of the state educational order (hereinafter - Doctor of Philosophy (PhD)), work for at least three years after completion of training in HES or scientific organizations.

Doctor of Philosophy (PhD) works in proportion to the time of their actual training on the state educational order after graduation from higher education institutions, within the period provided by this paragraph, in the cases of:

- 1) transfer from training on a paid basis to training on the state educational order;
- 2) the transfer from training on state educational order to study on a fee-paying basis;
- 3) the expulsion from the HEC, subject to subsequent reinstatement during the current or the next academic year.

For the purpose of referral to the Doctor of Philosophy (PhD), their personal allocation is carried out.

In the personal allocation of Doctor of Philosophy (PhD), take into account:

- 1) place of permanent residence or preferred locality for placement;
- 2) GPA of the graduate;
- 3) petitions of employers;
- 4) the existence of circumstances entitling to priority placement, stipulated by the Law and the Rules;
- 5) circumstances established by the Law and/or the Regulations which relieve or excuse students from completing their course work.

The period of time for doctoral students/PhD students is calculated from the day they enter into an employment contract with their employers.

Exemption from the obligation to work off, as provided by law, is granted by decision of the Commission on the Personal Distribution of PhD students (PhD) to the following categories:

- 1) persons in the absence of vacancies in the locality of residence, work or service of the spouse;
 - 2) persons with disabilities of groups I and II;
- 3) pregnant women, persons with or raising a child (children) under the age of three years on their own.

The termination of the obligation to serve time under the Act, without reimbursement of expenses incurred at the expense of budgetary funds related to training, occurs:

- 1) in connection with the performance of the duty to work off;
- 2) in connection with the death of a student (young specialist, doctor of philosophy (PhD)), confirmed by relevant documents;
 - 3) in the case of establishment of disability of groups I and II during the period of service;
- 4) in connection with exemption from the duty to serve time in cases provided for by the Law and paragraph 14 of these Rules.

