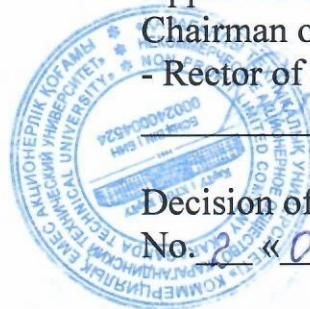


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Approved by
Chairman of the Management Board
- Rector of NLC KTU



M.K. Ibatov

Decision of the Academic Council
No. 2 « 06 » 09 2021

REGULATION

ON POSTDOCTORAL STUDIES

KTU IDR II-09-2021

Developed by Vice-Rector for SW
Huangan N.
engineer of the DS&I
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Karaganda

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Effective date 2021.09.06
(year, month, date)

1 Scope

This "Regulation on Postdoctoral Studies" defines the procedure of implementing the postdoctoral program at NLC "Karaganda Technical University" (hereinafter referred to as the University).

2 Terms, definitions and abbreviations

In this Regulation the following terms are used:

Postdoctoral studies - one of the forms of advanced training of a young scientist (up to 40 years old) who has received the PhD degree, by participating in the implementation of research projects carried out at the University on the initiative topic and/or funded contracts;

Postdoctoral student - a person enrolled in postdoctoral studies;

University – NLC "Karaganda Technical University";

Regulation - Regulation on postdoctoral studies;

Competition – selecting for admission to postdoctoral studies;

Subdivision - a unit of the university, on the basis of which the implementation of the postdoctoral program is carried out.

The following abbreviations are used in this Regulation:

- NLC "KTU" - Non-profit Limited Company "Karaganda Technical University";

- RK MES - Ministry of Education and Science of the Republic of Kazakhstan;

- DS&I - Department of Science and Innovation of the University;

- PED - Department of Postgraduate Education;

- R&D - research work;

- IPRPD - individual work plan of the postdoctoral student;

- STC - Scientific and Technical Council of the University;

- QMS - quality management system;

- QMR - quality management representative;

- CQM&A – center of quality management and accreditation.

3 General provisions

3.1 This Regulation on postdoctoral studies (hereinafter the Regulation) of NLC "Karaganda Technical University" (hereinafter NLC "KTU") has been developed in accordance with the Law of the Republic of Kazakhstan "On Education", the Law of the Republic of Kazakhstan "On Amendments and Additions to Certain Legislative Acts of the Republic Kazakhstan on the expansion of academic and managerial independence of higher education institutions ", the State Compulsory Standard of Postgraduate Education, regulatory acts of the Ministry of Education and Science of the Republic of Kazakhstan (hereinafter EK MES).

3.2 This Regulation determines the procedure of admission to postdoctoral stud-

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ies and mandatory requirements for the implementation of professional scientific programs for training postdoctoral students at NLC "KTU".

3.3 This Regulation is mandatory for all the structural divisions of the University (faculties, departments, institutes, scientific, financial divisions, etc.) involved in training postdoctoral students.

3.4 The goal of postdoctoral studies is to train highly qualified scientific personnel to improve the level of scientific and pedagogical activities of the University, to develop (to ensure continuity) of scientific schools of the University.

3.5 The postdoctoral program contains the following activities:

- research work according to the individual work plan of the postdoctoral student;
- intermediate and final certification.

3.6 The main organizational units that ensure the implementation of postdoctoral programs are scientific and educational structural divisions (departments, research institutes and centers) of the University (hereinafter referred to as the subdivisions) approved by the order of the rector for the implementation of the postdoctoral program.

3.7 The direct supervision of postdoctoral students is performed by the heads of the relevant departments together with scientific consultants of the postdoctoral students' R&D.

3.8 Coordination and control of the implementation of postdoctoral programs is performed by the Department of Science and Innovation (hereinafter DS&I).

4 Procedure of accepting documents from candidates for admission to postdoctoral studies

4.1 The following persons can be admitted to postdoctoral studies:

- those who have a PhD or Candidate of Science degree and have defended their dissertation no later than in the last 7 (seven) years before the time of admission to postdoctoral studies;
- those who are actively engaged in research activities (having publications in peer-reviewed journals, patents, who participate in funded republican and international projects);
- those whose age does not exceed 40 years.

4.2 Applicants for postdoctoral studies submit the following documents to the Competition commission:

- an application addressed to the rector for admission to the competition;
- a copy of the identity card;
- a copy of the diploma of Doctor of Philosophy (PhD) or Candidate of Science;
- a certificate in a foreign language (English, French, German) in the programs of International English Language Tests System (IELTS, threshold score at least 5.5), Grundbaustein DaF (threshold score C1), Deutsche Sprachprüfung für den Hochschulzugang (DSH, threshold score C1), Diplôme d'Etudes en Langue française (DELFL,

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threshold score B2), Diplome Approfondi de Langue français (DALF, threshold score C1), Test de connaissances de français (TCF, threshold score at least 400), Test Of English as a Foreign Language (TOEFL ITP at least 460) (if available);

- a list of scientific papers with the following attached documents:
 - references on citation of publications in the Scopus database and/or a report on citation from the database of the information company Clarivate Analytics (Web of Science Core Collection). The citation information should contain the data of the number of publications, Hirsch index (h-index), total (total) number of citations;
 - copies of patents, certificates of registration of the copyright objects.
- an application from the subdivision with justification for the allocation of a place for the implementation of the postdoctoral program, within which the postdoctoral student will perform his scientific activities (Appendix A);
- substantiation of the scientific interests of the applicant and the goals of admission to postdoctoral studies (personal statement);
- CV of the applicant (Appendix B).

5 Procedure and criteria of holding a competition to the postdoctoral studies

5.1 To hold the competition, by the Rector of the University order a commission is formed under the STC that consists of 7 people: the Chairman of the STC, members of the STC, heads and leading scientists of the University subdivisions with doctoral degrees. The Commission under the STC selects candidates for postdoctoral studies and evaluates the activities of the postdoctoral student.

5.2 The Competition commission selects applicants for postdoctoral studies on the basis of the following criteria:

- compliance of the applicant with the formal requirements of the competition;
- the level of publication activity and citation of scientific publications;
- the degree of participation in research projects;
- experience of scientific leadership or co-supervision of undergraduates and doctoral students;
- the degree of independence in performing research work.

Priority in selection, all other things being equal, is given to applicants who have publications in journals with the highest scientometric indicators (impact factor, SJR, quartile).

6 Procedure of enrollment to the postdoctoral studies

6.1 Enrollment to the postdoctoral studies is carried out by the rector of the University order on the basis of a positive decision of the Competition commission in accordance with the number of places provided for in the admission plan for postdoctoral studies.

6.2 After enrollment, the rector of the University concludes an agreement with the

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postdoctoral student providing for labor and financial relations.

6.3 The postdoctoral student's personal file is kept in the Personnel division of the Administrative Work Department.

7 Rules of postdoctoral studying

7.1 The duration of the postdoctoral program is 3 years.

7.2 The postdoctoral student performs research activities under the guidance of a scientific consultant (research manager of the project). Scientific consultants are approved by the rector of the University order on the STC recommendation, according to the representations of the subdivision heads, within one month from the date of enrollment.

7.3 A scientific consultant must have a scientific/academic degree, the academic title of professor/associate professor, be actively engaged in scientific research in the trajectory of the postdoctoral student's research and development, have at least 5-year scientific and pedagogical work experience, at least 7 publications within the last 5 years in journals with a non-zero impact factor according to the Clarivate Analytics information database (Web of Science Core Collection) and the Hirsch index of at least 3.

7.4 The scientific consultant participates in the development and approval of the individual work plan of a postdoctoral student, supervises his research work.

7.5 The period of completion of postdoctoral studies is accounted in the experience of scientific and pedagogical work.

7.6 The main criterion for the completion of the postdoctoral program is full implementation of the individual work plan of the postdoctoral student and availability of scientific publications in accordance with the requirements of the final certification.

7.7 In order to ensure academic mobility, postdoctoral students have the right to have foreign scientific internships within the period of their postdoctoral studies at the expense of extrabudgetary funds of the University.

7.8 Postdoctoral students are required to take part in at least 2 (two) foreign international scientific conferences within a year.

8 Requirements to the conditions of postdoctoral studies implementation

8.1 An applicant enrolled to the postdoctoral studies receives the status of a postdoctoral student equated to a full-time researcher.

8.2 A postdoctoral student has the right to be engaged in pedagogical activity, at this, the amount of the pedagogical load should not, as a rule, exceed 0.5 of the rate.

8.3 Postdoctoral students are provided with a monthly scholarship in accordance with the established procedure at the expense of extra-budgetary funds of the University.

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8.4 Postdoctoral students in the prescribed manner have the right to use the educational and material base, social infrastructure facilities, the information stock and medical services of the University.

8.5 A postdoctoral student can take part in competitions for grant funding of scientific research in accordance with the current regulations.

8.6 Postdoctoral students are annually provided with vacations lasting 30 (thirty) calendar days.

8.7 Responsibility for organization of postdoctoral studies lies on the scientific consultant and the head of the structural unit.

8.8 Persons who have successfully completed postdoctoral studies have the right to return to their previously held position.

8.9 Subdivisions that train postdoctoral students should have scientific and educational relations with leading foreign accredited educational and scientific institutions, scientific centers, international professional associations and communities, which make it possible to use advanced foreign experience in training highly qualified specialists for research activities and to involve cooperation of competent foreign specialists.

8.10 Subdivisions that train postdoctoral students are approved by the rector order on the basis of recommendation of the Scientific-technical Council.

8.11 Postdoctoral studies should be provided with free access to the world information resources, library stocks and databases, computer technologies, etc.

8.12 The postdoctoral research program should

- be performed within the framework of funded fundamental, applied and other state budgetary and contractual projects;
- be relevant, contain scientific novelty and practical significance;
- be based on updated theoretical, methodological and technological achievements of domestic and foreign science and practice;
- to use updated scientific research methods using computer technologies.

9 Postdoctoral student’s individual work plan

9.1 Within 1 (one) month from the date of enrollment, postdoctoral students develop an postdoctoral student individual work plan (hereinafter referred to as PSIWP) in accordance with Appendix C that includes the following sections:

- a plan of research work;
- a plan of scientific publications in international scientific journals included in the information databases Web of Science and/or Scopus;
- a plan of foreign internships;
- participation in conferences.

9.2 PSIWP is signed by the postdoctoral student, the scientific consultant, the head of the subdivision, vice-rector for scientific work and is approved by the decision of the Scientific-technical Council.

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9.3 The PSIWP serves as the basis for the completion of the postdoctoral program. If needed, the PSIWP can be updated annually.

9.4 An individual postdoctoral student work plan is drawn up for the entire period of mastering the postdoctoral program broken down by years. The work plan indicates the topic of the research, the area of research, the timing and form of reporting. The postdoctoral student's scientific publications plan should contain approximate topics of publications, the names of scientific editions in which it is planned to publish the work, the terms of work on publications.

9.5 In order to organize monitoring the scientific activities of postdoctoral students, one copy of the individual work plan of the postdoctoral student is kept in the subdivision, on the which basis the postdoctoral student is trained, and one copy is in the DS&I.

9.6 Responsibility for the timely compilation, approval and completeness of the implementation of individual work plans of postdoctoral studies rests with postdoctoral students, scientific consultants and heads of departments.

10 Requirements to the midterm and final attestation of postdoctoral students

10.1 To assess the results of the postdoctoral student research work, control is carried out in the form of midterm and final attestations.

10.2 Based on the results of the midterm attestation, a decision is made on the continuation or interruption of the postdoctoral studies and the further payment of a monthly scholarship to the postdoctoral student.

10.3 Attestation of the results of research and development of postdoctoral students is performed annually at the meetings of the Scientific-technical Council after consideration in the subdivisions with the provision of appropriate minutes. To the meetings of the STC commission there are invited postdoctoral students, heads of divisions, scientific consultants and, if necessary, leading scientists in the trajectory of postdoctoral research and development. Postdoctoral students submit a report on the implementation of the PSIWP.

10.4 The criteria of successful mastering the program by a postdoctoral student are as follows (Appendix D):

- preparing and sending to the editorial office of the journal at least 2 (two) articles based on the results of the first year; publishing 3 (three) articles based on the results of the second year and publishing 3 (three) articles based on the results of the third year of postdoctoral studies in scientific journals according to the Web of Science information base not lower than the second quartile (Q2) and/or included in the Scopus database with percentile not lower than 51; in the case if the journal in which the article is published is included in the 1st quartile (Q1) of the Web of Science database and/or Scopus database with the percentile of at least 76, one article is accounted as two (indication the affiliation of NLC "KTU" in the articles is mandatory);

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- receiving grants and/or concluding contracts with participation of a postdoctoral student: at least 1 for 3 years;
- organizing the own research group of postdoctoral students from among master and doctoral students, young scientists (from the first year of the program);
- the results of scientific and innovative activities: acts of introduction/commercialization of research work/implementation of start-up projects/international applications for the provision of legal protection of the results of intellectual activity (one application is equal to one article), etc.

A publication authored by several postdoctoral students is credited to only one of them.

10.5 For the midterm attestation, postdoctoral students submit to the DS&I one copy of the annual report on the completed research and the results of scientific and innovative activities.

10.6 The attestation of postdoctoral students at the end of the third year is final.

10.7 For the final attestation, postdoctoral students submit to the DS&I one copy of the final report on the research work done certified by the head of the department and the scientific consultant and the results of scientific and innovative activities in accordance with Appendix D.

10.8 The reports of postdoctoral students should be presented in the atmosphere of high demands, adherence to principles and adherence to scientific ethics. At the same time, the novelty, the validity of the results, conclusions and recommendations of the scientific and practical nature should be subjected to a thorough analysis.

10.9 Based on the results of consideration and discussion of the postdoctoral student's report, the STC adopts by open vote one of two decisions on the final certification of the postdoctoral student:

- to certify;
- not to certify.

10.10 The results of the final attestation at the STC are drawn up in the minutes for each postdoctoral student. The minutes are transferred to the archives of the University alongside with the personal file for storage in accordance with the established procedure.

10.11 A postdoctoral student, in case of expulsion from postdoctoral studies due to non-fulfillment of the attestation requirements or on his own initiative, reimburses the University for the funds spent by the University for the postdoctoral student within the postdoctoral period in accordance with the concluded agreement.

10.12 General organization and control of the final attestation of postdoctoral students is performed by the subdivisions and the Department of Science and Innovation of the University.

11 Rights and liabilities of postdoctoral students

11.1 Postdoctoral students have the rights and liabilities determined by the Laws

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of the Republic of Kazakhstan "On Education" and "On Science", regulations of the Ministry of Education and Science of the Republic of Kazakhstan, the Charter and Internal Regulations of the University.

11.2 Postdoctoral students are required:

- to perform timely and efficiently all the types of work stipulated by the individual work plan;
- to submit timely, at the end of each stage of the work stipulated by the individual plans, all the needed written materials;
- to comply with the established deadlines for submitting reports (on the research work done, on visiting foreign internships, if any, etc.);
- to inform promptly the relevant administrative departments of the University of changing the address of the place of residence and contact information;
- to pass the final attestation within the specified time frame.

11.3 The rights and liabilities of postdoctoral students not provided for by this Regulation are permitted in the manner prescribed by the legislation of the Republic of Kazakhstan.

12 Postdoctoral studies funding

12.1 The activities in the field of implementing postdoctoral programs are funded from extra-budgetary funds of the University, as well as from the contractual and state budgetary research projects performed by postdoctoral students.

12.2 Extra-budgetary funds are used for

- paying scholarships to postdoctoral students;
- covering the costs associated with the internship and/or participation in international foreign scientific conferences, up to 7 days, no more than once.

13 Amendments to the Regulation

The development, execution, coordination and approval of this Regulation, as well as introducing amendments into it, must be carried out in accordance with the KTU DP II-01.

14 Coordination and introduction the Regulation

Coordination of this Regulation is carried out with the QMR, Vice Rector for Scientific Work, Chief accountant, head of CQM&A and is drawn up in the "Coordination sheet" (Appendix E).

15 Copying and dispatching the Regulation

This Regulation copying and dispatching should be made in accordance with KTU DP II-01.

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16 Safekeeping the Regulation

This Regulation safekeeping should be made in accordance with KTU DP II-01.

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Appendix A
(informative)

Scientific consultant (project manager)’s application for participation in the competition to the postdoctoral studies program

1.	Name	
2.	Position and place of work	
3.	E-mail	
4.	Contact telephone number	
5.	Title, brief description of the research project indicating novelty, relevance and implementation in production and educational process	
6.	Justification of the need to attract postdoctoral students to perform research indicating the number of units required	
7.	Requirements for the applicant on the part of the manager. Area of knowledge, knowledge of additional languages, number of publications, the Hirsch index, participation in international projects	
8.	Working conditions for the winner of the competition	

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Appendix B
(informative)

**CV of the applicant for participation in the competition to the
postdoctoral studies program**

1.	Name	
2.	Date of birth	
3.	IIN	
4.	Education (name of the university, specialty, post-graduate, graduate, doctoral studies with dates)	
5.	Internship, refresher courses	
6.	Subject of the defended thesis	
7.	Academic degree (with copies of diplomas attached)	
8.	Date of awarding the degree	
9.	Total number of publications in rating journals (with a screenshot from the database attached)	
10.	Hirsch index at the time of submission of documents on the bases of WEB of Science, Scopus	
11.	Information of research projects completed by the applicant for the competition indicating the source of funding and the amount	
12.	The name of organization in which the applicant is currently working (with an attached certificate from the place of work)	
13.	Position	
14.	E-mail	
15.	Contact telephone number	
16.	Work experience at other organizations	
17.	Total work experience/work experience at the scientific organization	
18.	Awards (prizes, medals, diplomas, etc.)	
19.	English proficiency (with a certificate attached)	
20.	Abstract of the planned research work	
21.	Consent of the participant of the Competition to post the information contained in the application on the official website of the University	

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Appendix C
(informative)

Postdoctoral student’s individual work plan

No	Type of work	Schedule time		Expected result	Note
		beginning	completing		

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Appendix D
(informative)

Criteria of the postdoctoral student’s work efficiency
(Results obtained within the frame of implementing the postdoctoral program)

No	Name	Confirming documents
1	Publications indexed in the international database Web of Science, Scopus	List of publications with indication of the imprint (when published, accepted for publication, sent)
2	Intellectual property protection documents	List of documents of intellectual activity
3	Received grants and/or concluded contracts with the participation of a postdoctoral student	List of applications (submitted/awarded) indicating the amount of funding
4	Formation of your own research group of postdoctoral students from among undergraduates, doctoral students, young scientists of the University	List of participants in the research project with indication of the work performed and the schedule
5	Others	

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[illegible]

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Appendix F (mandatory)