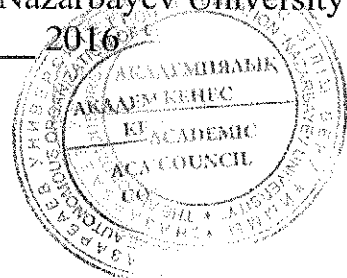


**AUTONOMOUS ORGANISATION OF EDUCATION
“NAZARBAYEV UNIVERSITY”**

**PH.D. IN SCIENCE, ENGINEERING AND TECHNOLOGY
COMMITTEE REGULATIONS**

Approved by the resolution of the Academic Council of
the autonomous organization of education “Nazarbayev University”

Minutes #61 of 30.11 2016



Astana 2016

1. General Provisions

1. These PhD in Science, Engineering and Technology Committee Regulations (hereinafter – Regulations) establish the rules under which the PhD program committees operate in the School of Engineering of Nazarbayev University (hereinafter – School).

2. The following abbreviations are used in these Regulations:

1) PhD Program – Doctor of Philosophy in Science, Engineering and Technology;

2) PPC – PhD Program Committee;

3) PRC – Progress Review Committee;

4) SST – School of Sciences and Technology of Nazarbayev University;

5) TC – Thesis Committee;

6) TEAC – Thesis Examination Arrangement Committee;

7) University – the autonomous organization of education “Nazarbayev University”.

3. At the delivery of the PhD program, the School shall have the following committees:

1) PhD Program Committee;

2) Admissions Committee;

3) Progress Review Committee;

4) Thesis Examination Arrangement Committee;

5) Thesis Committee.

2. PhD Program Committee (PPC)

2.1. Mission

4. The PPC has the following missions:

1) to have oversight of the entire operation of the PhD program;

2) to contribute into the research strategies of the School.

2.2. Objectives

5. The PPC will facilitate the running of the PhD program by approving decisions made by other committees operating within this document and ensure that all PhD matters are being observed within the rules and regulations of the “*Graduate Programs Framework*”, School’s “*PhD Student Handbook*” and “*PhD Faculty Processes*”.

6. The PPC will develop processes for the PhD program from admissions to graduation, its strategic planning, process development and quality review procedures.

7. The PPC will review the program review reports from the Director of PhD Studies and make recommendations to the Dean.



2.3. Functions

8. The functions of the PPC include:
- 1) make recommendations to the Dean regarding strategic areas of research and the ability of faculty to support PhD students in that area;
 - 2) endorse the recommendation of the TC to confer the award of the PhD title, which is passed to the Dean and further to the Provost for final approval;
 - 3) approve the recommendation from TEAC to appoint alternative or additional internal and external examiners;
 - 4) recommend to the Dean for further recommendation to the Provost extensions of a PhD student to enter into years 5, 6 or 7;
 - 5) consider cases for dismissal of PhD students (other than those based on academic or non-academic misconduct) and make recommendations to the Dean;
 - 6) propose recommendations to improve the infrastructure concerning the PhD program to the Dean;
 - 7) investigate appeals, problems, disagreements and potential conflict occurring within the program, such as within the supervisory committee, between the supervisory committee and the student, or between the supervisory committee, the student and the review stages;
 - 8) oversee the development of policies regarding the financial expenses of the PhD budget related to supporting PhD student projects;
 - 9) provide recommendations to the program review exercise conducted by the Director of PhD Studies;
 - 10) endorse recommended changes to the Program by the Director of PhD Studies prior to endorsement by the School's Teaching and Learning Committee and approval by Academic Council.

2.4. Governance Principles

9. The PPC is established by the decision of the Dean.
10. The Chair will be the Director of PhD Studies in *Science, Engineering and Technology*.
11. The PPC may have a Co-Chair, which will be appointed by the Chair of the PPC.
12. The Secretary of the PPC is appointed from the staff of the School.

2.5. Membership

13. PPC Members are selected on a voluntary basis with no more than 3 representatives per Department within the School and SST and will serve for 2 years minimum.

2.6. Rights and Responsibilities of the Committee Members

 *Agreed*

14. The Committee members are required to fulfill their duties, assignments and responsibilities as assigned to them in order to carry forward the work of the Committee.

15. Members of the Committee have a right to suggest items for the Committee's consideration and have access to materials of the Committee.

2.7. Procedures

16. The Chair convenes meetings, organizes the Committee's work, and ensures the implementation of recommendations made by the Committee.

17. In case of the Chair's absence, these functions are carried out by the Committee's Co-Chair.

18. Meetings will normally be open to all members of the University community. Closed sessions may only be attended by Members of the Committee.

19. Meetings are held every 8 weeks, or as determined by the Committee.

20. The Committee is at quorum when more than half of the voting members are present.

21. The Committee's recommendations are made by majority vote.

22. Committee members are to disseminate information about Committee's initiatives in their Schools or other units of the University, which they represent.

23. Meeting minutes of the Committee are recorded and signed by the Chair and Committee Secretary.

24. The Committee Chair may give an account of the Committee's meetings to School's Teaching and Learning Committees, as appropriate.

25. The Committee reports annually to the Dean.

26. The official procedural language of the Committee is English.

2.8. Records

27. The Secretary of the Committee prepares and distributes the minutes with the Committee's recommendations to the appropriate the University subdivisions, informs the Committee members about meetings to be held, keeps a record of meetings and sends it to members of the Committee, and also to interested or involved University units to keep them informed. This record will be stored electronically and as a hard copy with the Office of the Provost and will be available through the internal web portal of the University.

3. Admissions Committee

28. The Committee operates under the "*The Rules For Admission To The Phd (Doctor Of Philosophy) In Science, Engineering and Technology Program*" document.



4. Progress Review Committee (PRC)

4.1. Mission

29. The Committee's mission is to undertake the review of every PhD student on a periodic basis to evaluate progression of the candidate and the research topic.

4.2. Objectives

30. The PRC will organize periodic review meetings with the PhD student and where appropriate the supervisory committee.

31. The PRC will assess the development of the PhD student and their research and determine whether recommendations of changes for improvement need to be made.

4.3. Functions

32. The functions of the PRC include:

- 1) to examine the PhD student's development and determine where improvements can be made;
- 2) determine whether the current level of progress and future direction will result in a viable PhD;
- 3) ascertain the working dynamics of the supervisory committee and the PhD student to ensure it is working constructively;
- 4) make recommendations to the student and their supervisory committee for changes to be made that are deemed to benefit the student's development and research progress;
- 5) approve Research Plans, changes in supervisory arrangements and annual progression;
- 6) monitoring the academic progress of the student;
- 7) make recommendations relating to student's withdrawal or dismissal from the PhD program.

4.4. Membership

33. Members are selected from the PPC membership by the Director of PhD Studies on ad hoc basis for each PhD student under review.

34. The Chair will be the Director of PhD Studies in *Science, Engineering and Technology*. In the event that the Chair is a member of the PhD student's supervisory committee, an alternative member from the PPC will be selected by the Co-Chair of the PPC.



35. A minimum representation will be 1 member from the PPC who will have specialist knowledge in the area of the PhD student's research and cannot be a member of the PhD student's supervisory committee.

4.5. Rights and Responsibilities of the Committee Members

36. The Committee members are required to fulfill their duties, assignments and responsibilities as assigned to them in order to carry forward the work of the Committee.

37. Members of the Committee have a right to suggest items for the Committee's consideration and have access to materials of the Committee.

4.6. Procedures

38. The Chair convenes meetings, organizes the Committee's work, and ensures the implementation of recommendations made by the Committee.

39. In case of the Chair's absence, these functions are carried out by the deputized representative assigned by the Co-Chair of the PPC.

40. Meetings will normally be open to all members of the University community. Closed sessions may only be attended by Members of the Committee and invited parties.

41. Meetings are held annually for each student, or more frequently as determined by the Committee or recommendations from the PPC or Chair. The student must be in attendance. In the event of their absence, the meeting will have been considered to have taken place.

42. The Chair will instruct the PhD student on their requirements for the meeting.

43. For end of 1st year vivas, the PhD student, supervisory committee including the external supervisor must be present. For other periodic review meetings, the student must attend and the supervisory committee may be invited.

44. After discussion with the student, the Committee will deliberate with the supervisory committee, in the absence of the PhD student, and make recommendations.

45. The Committee will invite the student back into the meeting after deliberation and explain their recommendations to the student, in front of the supervisory committee.

46. The Committee can make a number of recommendations, that include:

- 1) the student has made satisfactory progress and allowed to continue or progress;
- 2) the student will need to make minor amendments and a second PRC meeting is not required;

Approved

- 3) the student will need to make major changes and a second PRC meeting may or may not be required;
- 4) the student cannot progress and must be referred to the PPC.
47. In the event that a second PRC meeting is required as a result of the committee's recommendation from the first PRC meeting, this will take place within 2 months.
48. In the event that a student misses the first PRC meeting, then they are automatically entered into a second PRC meeting, which must take place within 2 months.
49. At any review point, no student may have more than two PRC meetings, unless under exceptional circumstances.
50. Meeting minutes of the Committee are recorded and signed by the Committee members, the PhD Student and their supervisory committee.
51. The Committee Chair may give an account of the Committee's meetings to School's Teaching and Learning Committees and the PPC, as appropriate.
52. The official procedural language of the Committee is English.

4.7. Records

53. The Committee prepares and distributes the minutes with the Committee's recommendations to the appropriate University subdivisions. This record will be stored electronically and as a hard copy with the Office of the Provost and will be available through the internal web portal of the University.

5. Thesis Examination Arrangement Committee (TEAC)

5.1. Mission

54. The Committee's mission is to to facilitate the process by which a PhD student is able to submit their request for a viva.

5.2. Objectives

55. The TEAC will review the request of the PhD student or supervisory committee to determine whether the student can proceed towards a viva.

5.3. Functions

56. The functions of the TEAC include:
 - 1) ascertain whether the student has progressed the writing of the first 3 chapters of their thesis sufficiently;
 - 2) determine if the student has a realistic timeline for writing the remaining chapters;



- 3) determine whether the student has a publication or acceptance of a publication in accordance with the graduation requirements of the Program;
- 4) determine the format of the viva depending on the presence or absence of sensitive data or agreements (i.e. IP, NDA, CDA);
- 5) approve the PhD thesis title;
- 6) approve the proposed viva date, which will be at least 6 months after the TEAC meeting;
- 7) evaluate the documentation submitted and either approve the formal submission of the thesis and the examiners or deny the request and must provide explanations and recommendations.

5.4. Membership

57. Members are selected from the PPC membership by the Director of PhD Studies on ad hoc basis for each PhD student under review.

58. The Chair will be the Director of PhD Studies in *Science, Engineering and Technology*. In the event that the Chair is a member of the PhD student's supervisory committee, an alternative member from the PPC will be selected by the Co-Chair of the PPC.

59. A minimum representation will be 1 member from the PPC who will have specialist knowledge in the area of the PhD student's research and cannot be a member of the PhD student's supervisory committee. The member may serve on the TEAC if they have been a member of any of the PhD candidate's PRC meetings.

60. Another representative will be appointed from the PPC who does not require specialist knowledge in the area of the PhD student's research and cannot be a member of the PhD student's supervisory committee.

5.5. Rights and Responsibilities of the Committee Members

61. The Committee members are required to fulfill their duties, assignments and responsibilities as assigned to them in order to carry forward the work of the Committee.

62. Members of the Committee have a right to suggest items for the Committee's consideration and have access to materials of the Committee.

5.6. Procedures

63. The Chair convenes meetings, organizes the Committee's work, and ensures the implementation of recommendations made by the Committee.

64. In case of the Chair's absence, these functions are carried out by the deputized representative assigned by the Co-Chair of the PPC.

65. Meetings are closed sessions and may only be attended by Members of the Committee.

Accepted

66. Meetings are held as needed through the year for every student.
67. Meeting minutes of the Committee are recorded and signed by the Committee members.
68. The Committee Chair may give an account of the Committee's meetings to School's Teaching and Learning Committees and the PPC, as appropriate.
69. The official procedural language of the Committee is English.

5.7. Records

70. The Committee prepares and distributes the minutes with the Committee's recommendations to the appropriate the University subdivisions. This record will be stored electronically and as a hard copy with the Office of the Provost and will be available through the internal web portal of the University.

6. Thesis Committee (TC)

6.1. Mission

71. The TC ensures that all PhD graduates have successfully completed the program according to an international standard.

6.2. Objectives

72. The TC will examine each PhD student through a formal viva voce (viva) to determine that the student's knowledge and thesis have reached a sufficient quality standard to warrant conferment of the PhD title.

6.3. Functions

73. The functions of the TC include:
- 1) to examine the PhD student's thesis and knowledge;
 - 2) determine whether the standard of knowledge and the quality of the viva warrant award of the title PhD;
 - 3) propose recommendations for changes to the thesis.

6.4. Membership

74. Members are selected by the Director of PhD Studies on ad hoc basis for each PhD student under review according to the recommendations from the TEAC and must comprise an odd number. Under exceptional circumstances will the members be allowed to serve on the TC if they have been members for the candidate's PRC meetings or TEAC meeting.



75. The Chair will be the Director of PhD Studies in *Science, Engineering and Technology*. In the event that the Chair is a member of the PhD student's supervisory committee, an alternative member from the PPC will be selected by the Co-Chair of the PPC.

76. A minimum representation will be 1 member of NU faculty who will have specialist knowledge in the area of the PhD student's research and cannot be a member of the PhD student's supervisory committee.

77. Another member will be appointed from outside the University, according to the recommendation from the TEAC meeting, who will act as the external examiner and is a recognized international expert in the thesis subject. The external examiner cannot have a vested interest in the PhD student or the supervisory committee.

78. In the event of conflict or a suitable candidate cannot be found internally, the TEAC may have recommended a second external candidate, who will also be an expert in the field of the thesis subject.

6.5. Rights and Responsibilities of the Committee Members

79. The Committee members are required to fulfill their duties, assignments and responsibilities as assigned to them in order to carry forward the work of the Committee.

80. Members of the Committee have a right to suggest items for the Committee's consideration and have access to materials of the Committee.

6.6. Procedures

81. On the approval of the TEAC, the Chair convenes the viva, organizes the TC's work, and ensures the implementation of recommendations made by the Committee.

82. In case of the Chair's absence, these functions are carried out by the deputized representative assigned by the Co-Chair of the PPC.

83. Vivas are held in an open format unless the TEAC has determined that there are sufficient grounds due to agreements (IP, CDA, NDA) that prevent open dissemination of data. In this case only the Committee, the PhD Student and by invitation the Supervisory Committee may attend.

84. Vivas are held as needed through the year for student completing their PhD.

85. The Committee will first examine the student and the thesis. Additional questions may be asked by the public forum, if the viva is taking place in an open forum.

86. The Committee will retire, in absence of the student, to consider the student and the thesis and agree a recommendation. The Committee's recommendations are made by majority vote.

Accepted


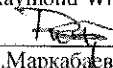
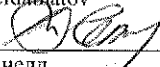
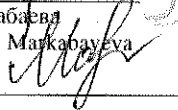


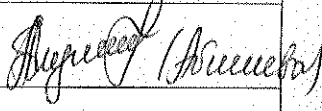
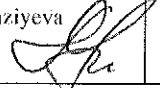
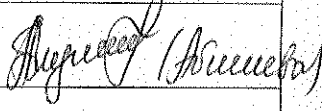
87. The Committee can make a number of recommendations, that include:
- 1) that the candidate be awarded the degree for which he/she is registered;
 - 2) that the candidate be awarded the degree for which he/she is registered subject to minor amendments being made to the thesis;
 - 3) that the candidate be permitted to re-submit for the degree and be re-examined with or without an oral examination. The maximum time for re-submission for re-examination is normally 18 months for full-time students;
 - 4) that the candidate not be awarded the degree and not be permitted for re-examination.
88. Meeting minutes of the Committee are recorded and signed by the Committee members.
89. The Committee Chair may give an account of the Committee's meetings to School's Teaching and Learning Committees and the PPC, as appropriate.
90. The official procedural language of the Committee is English.

6.7. Records

91. The Committee prepares and distributes the minutes with the Committee's recommendations to the appropriate the University subdivisions. This record will be stored electronically and as a hard copy with the Office of the Provost and will be available through the internal web portal of the University.

Approved

КЕЛЕСУ ПАРАҒЫ/APPROVAL SHEET /ЛИСТ СОГЛАСОВАНИЯ
PH.D. IN SCIENCE, ENGINEERING AND TECHNOLOGY COMMITTEE REGULATIONS
ПОЛОЖЕНИЕ О КОМИТЕТЕ PH.D. В ОБЛАСТИ НАУКИ, ИНЖЕНЕРИИ И ТЕХНОЛОГИИ
ҒЫЛЫМ, ИНЖИНИЕРИЯ ЖӘНЕ ТЕХНОЛОГИЯ САЛАСЫНДАҒЫ PH.D. КОМИТЕТІ ТУРАЛЫ ЕРЕЖЕЛЕР

Item/ Атауы/ Наименование	Structural subdivision/ Құрылымдық бөлімшесінің атауы/ Наименование структурного подразделения	Name and signature of a responsible person, date of approval/ Т.А.Ж., жауапты тұлғаның қолы, визаның қойылған күні / Ф.И.О., подпись ответственного лица, дата визирования	Position, name and signature of a resp. person, date of approval /Лауазымы, Т.А.Ж., нақты орындаушының қолы, визаның қойылған күні / Должность, Ф.И.О., подпись конкретного исполнителя, дата визирования
DEVELOPMENT/ ӘЗІРЛЕУ/ РАЗРАБОТКА	School of Engineering / Инженерия мектебі / Школа инженерии	А.Вахгельт Anatoli Vakhguelt 	Р.Уитби Raymond Whitby 
REVIEW/ КЕЛІСУ/ СОГЛАСОВАНИЕ	School of Engineering / Инженерия мектебі / Школа инженерии	Р.Сейдамагов Ruslan Seidamatov 	Г.Маркабаева Gulzhan Markabaeva 
	Vice Provost for Academic Affairs/ Вице-прорект по академическим вопросам/ Академиялық мәселелер жөніндегі Вице-прорект	Л. О'Доннелл Loretta O'Donnell 	
	Legal Department / Заң департаменті / Юридический департамент	К. Сарсенбаев Kuanqsh Sarsenbaev 	
	Department of Documentational Support Құжаттамамен қамтамасыз ету департаменті / Департамент документационного обеспечения	Л. Нургазиева Leila Nurgaziyeva 	 25.11.2016.