

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

**SCHOOL OF ENGINEERING AND DIGITAL SCIENCES  
PhD STUDENT HANDBOOK**

Approved by the resolution of the Academic Council of  
the autonomous organization of education “Nazarbayev University”  
Minutes # \_\_ of \_\_\_\_\_ 2019

## 1. GENERAL PROVISIONS

1. The School of Engineering and Digital Sciences (hereafter - SEDS)PhD's Student Handbook (hereinafter - Handbook) complements the "Academic Policies and Procedures for graduate programs of the autonomous organization of education "Nazarbayev University" (hereafter - APPs). These policies and procedures apply to all PhD students enrolled in all PhD programs in the School of Engineering and Digital Sciences, approved on 2019 or thereafter, unless this handbook is superseded by an updated approved document.

2. This Handbook follows the same structure and abbreviations as the Graduate APPs.

3. The following abbreviations are used in these Regulations:
- 1) SEDS – School of Engineering and Digital Sciences;
  - 2) PhD Programs – Doctor of Philosophy in the corresponding discipline of the departments affiliated to the SEDS;
  - 3) GPC – SEDS Graduate ProgramsCommittee;
  - 4) DGPC – Department Graduate ProgramsCommittee;
  - 5) PRC – Progress Review Committee;
  - 6) TEC – Thesis Examination Committee;
  - 7) University – the autonomous organization of education "Nazarbayev University".

4. At the delivery of the PhD programs, the SEDS shall have the following committees:

- 1) SEDS Graduate Programs Committee(GPC) and Department Graduate ProgramsCommittees (DGPCs);
- 2)Progress Review Committee (PRC);
- 3) Thesis Examination Committee (TEC).

5. The SEDS Graduate Programs Committee (GPC) has the mission of overseeing the entire operation of the SEDS PhD programs and contributing with research strategies of the School. The GPC has the following characteristics and attributions:

- 1) **Functions:**(a) endorses recommendation of the TEC and DGPC to confer the award of the PhD title, which is passed to the Dean and further to the Provost for final approval; (b) (c) recommends to the Dean for further recommendation to the Provost extensions of a PhD student to enter into years 5 or 6; (d) considers cases for dismissal of PhD students presented by DGPC (other than those based on academic or non-academic misconduct) and make recommendations to the Dean;; (f) oversees the development of

policies regarding the financial expenses of the PhD budget related to supporting PhD student projects by SEDS; (g) endorses recommended changes by the DGPC prior to endorsement by the School's Teaching and Learning Committee and approval by Academic Council.

- 2) **Governance and membership:** (a) the SEDS GPC is established by the decision of the Dean; (b) the Chair will be designated by the Dean among all GPC members; (c) the GPC may have a Co-Chair, which will be appointed by the Chair of the GPC; (d) the Secretary of the GPC is appointed from the staff of the School; (e) the GPC members are the chairs of each DGPC.
- 3) **Rights and responsibilities of GPC members:** (a) 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; (b) the members of the Committee have the right to suggest items for the Committee's consideration and have access to materials of the Committee.
- 4) **Procedures:** (a) the Chair convenes meetings, organizes the Committee's work, and ensures the implementation of recommendations made by the Committee; (b) in case of the Chair's absence, these functions are carried out by the Committee's Co-Chair; (c) meetings are held as often as determined by the Committee; (d) the committee is at quorum when more than half of the voting members are present; (e) the Committee's recommendations are made by majority vote; (f) the Committee members are to disseminate information about Committee's initiatives to their DGPC for further diffusion through departments or other units of the University, which they represent; (g) the meeting minutes of the Committee are recorded and signed by the committee chair and Secretary with the approval of all attending members; (h) the committee Chair may give an account of the Committee's meetings to School's Teaching and Learning Committee, as appropriate; (i) the committee reports annually to the Dean or as often as requested by him/her.

6. The Department Graduate Program Committee (DGPC) has the mission of overseeing the operation of the discipline-specific PhD program. The DGPC has the following characteristics and attributions:

- 1) **Functions:** (a) oversees the academic performance of the PhD students in their discipline and recommends actions to facilitate the student success in the program. This includes the mission of undertaking the review of every PhD student on a periodic basis through the PRC to evaluate progression of the candidate and the

research topic.;(b) determine whether the current level of progress and future direction will result in a viable PhD; (c) ascertain the working dynamics of the supervisory committee and the PhD student to ensure it is working constructively; (d) 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; (e) approve changes in supervisory arrangements and annual progression;(f) make recommendations relating to student's withdrawal or dismissal from the PhD program; (g) reviews at initial stage the students request for Leave of Absence and emits further recommendation to the School; (i) endorses recommendation of the TEC and passes it to GPC for endorsement to confer the award of the PhD title, which is passed to the Dean and further to the Provost for final approval; (j) recommends to the GPC for further recommendation to Dean extensions of a PhD student in their discipline to enter into years 5 or 6; (k) considers cases for dismissal of PhD students and forward them for endorsement by GPC (other than those based on academic or non-academic misconduct) for further recommendation to the Dean; (l) investigates the 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; (m) designs and elaborate the Comprehensive Qualifying Examination (CQE) of the discipline and determine the mechanism of delivery and assessment; (n) recommends changes to the program to the GPC for its endorsement prior to endorsement by the School's Teaching and Learning Committee, the Dean and further approval by Academic Council.

- 2) **Governance and membership:** (a) the DGPC is established by the decision of the Head of Department (HoD); (b) the Chair will be designated by the HoD among DGPC members; (c) the DGPC may have a Co-Chair, which will be appointed by the Chair of the DGPC;(d) the Secretary of the DGPC will be appointed by the HoD from the TA-staff of the Department.
- 3) **Rights and responsibilities of DGPC members:** (a) 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; (b) the members of the Committee have the right to suggest items for the Committee's consideration and have access to materials of the Committee.
- 4) **Procedures:** (a) the Chair convenes meetings, organizes the Committee's work, and ensures the implementation of

recommendations made by the Committee; (b) in case of the Chair's absence, these functions are carried out by another committee member designated by the HoD for that given occasion; (d) meetings are held as often as determined by the Committee; (e) the committee is at quorum when more than half of the voting members are present; (f) the Committee's recommendations are made by majority vote; (g) the Committee members are to disseminate information about Committee's initiatives to their Department fellows and PhD students for further diffusion when appropriate; (h) the meeting minutes of the Committee are recorded and signed by the Chair and Secretary of the committee with endorsement of all attending members; (i) the committee reports regularly to the HoD.

7. The Progress Review Committee (PRC) has the mission of undertaking the review of the Thesis Research Proposal of every PhD student and the review of the annual progress of the PhD student. The PRC has the following characteristics and attributions:

- 1) **Functions:** (a) to examine the PhD student's Thesis Proposal and determine where improvements can be made; (b) to examine the student annual progress.
- 2) **Membership:** (a) the PRC members are proposed by the DGPC on ad hoc basis for each PhD student under review; (b) the chair will be the Chair of the DGPC. In the event that the Chair is a member of the PhD student's supervisory committee, an alternative member from the DGPC will be selected by the HoD; (c) in addition to the Chair, a minimum representation will be 1 member from the SEDS 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.
- 3) **Rights and responsibilities of PRC members:** (a) 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; (b) the members of the Committee have the right to suggest items for the Committee's consideration and have access to materials of the Committee.
- 4) **Procedures:** (a) the Chair convenes meetings, organizes the Committee's work, and ensures the implementation of recommendations made by the Committee; (b) in case of the Chair's absence, these functions are carried out by another committee member designated by the HoD for that given occasion; (c) Meetings are held during the Thesis Proposal Oral Defense (viva) and during the annual progress review of the student; (d) the student must be in attendance. In the event of their absence, the

meeting will have been considered to have taken place; (e) the Chair will instruct the PhD student on their requirements for the meeting; (f) for Thesis Proposal Oral Defense (vivas), the PhD student and supervisory committee including the external supervisor must be present (or connected via video-conference); (g) the committee reports the results to the DGPC; (h) in case of Thesis Proposal Oral Defense (Viva), after discussion with the student, the PRC will deliberate in private, and make recommendations; (i) the Committee can make a number of recommendations, that include: satisfactory progress and the student is allowed to continue, or progress or minor amendments are needed and a second PRC meeting is not required, or major changes and a second PRC meeting may be required, or the student cannot progress and must be referred to the DGPC and further to GPC for recommendation of dismissal to be passed to Dean for final decision; (j) in the event that a student misses the first PRC meeting or major changes are needed after the first PRC meeting, then the student is automatically scheduled a second PRC meeting, which must take place within 3 months; (k) no student may have more than two opportunities to approve the PRC evaluation, unless under exceptional circumstances; (l) meeting minutes of the PRC are recorded and signed by the Committee members and are passed to DGPC for further actions or endorsements and keep electronic record at the School Office with access to DGPC, GPC, Dean and the Office of the Provost.

## **2. ADMISSION**

8. The admission process shall be regulated by Admission rules for each program.

## **3. REGISTRATION**

9. Minimum Registration: enrollment for a minimum of 24 European Credit Transfer System (hereinafter –ECTS) credits that count toward graduation is required in any given semester to maintain status as a full-time student. Under exceptional circumstances, a student may be permitted to enroll for fewer than 24 ECTS credits, if written permission has been received from the Dean of the SEDS.

10. Maximum Registration: enrollment for a maximum of 36 ECTS credits that count toward graduation is permitted in any given semester. A student may be permitted to enroll for more than 36 ECTS credits, if written permission has been received from the Dean of the SEDS.

#### 4. PROGRAM DURATION AND GRADUATION

11. The PhD program requires a full-time dedication of the students and is expected to be completed in 4-year of studies, considering 48 consecutive months, comprised of 8 regular (fall and spring) semesters and 4 summer terms. The minimum possible duration of the program is four academic years (eight regular semesters plus their 4 summer terms). Extensions beyond 4 years, for up to a maximum of total program duration of 6 years, require approval of the DGPC, Head of Department, GPC, Dean and University's Provost and may involve financial charges to the student.

12. To progress and graduate, students must earn a CGPA no less than B- (2.67 on a 4-point scale) and must earn a PASS or IPS (In-Progress Satisfactory) mark for Thesis Research course until a total of 180 ECTS are awarded for their research work, following the successful final Thesis Oral Defense.

13. The DGPC is responsible to organize and deliver the end-of-first year Comprehensive (subject) Qualifying Examination (CQE) to the students of the discipline.

The DGPC must determine and inform to the student, with at least 1 semester in advance of the CQE, what will be the procedure for the examination, what are the subjects to be assessed, who will be the members of the examination panel and how the evaluation and appeal process will be regulated. The CQE, delivered in written format, is designed to test the student's knowledge and skills in selected discipline subjects. The written examination will comprise of two questions from three subject-areas from selected discipline. The subject-areas are previously chosen by the student from the pool of subject-areas listed for this purpose. The examination will be prepared and conducted by an ad hoc committee designated by the Head of Department. The student has to pass all three subject-areas in the exam to progress in the program. For example, if the student fails in one or two of his/her selected subject-areas in the first opportunity, then he/she has a second chance to re-exam in the failed subject-areas.

All PhD students in good standing, after satisfactorily completion of first year, will be scheduled to defend their Thesis Proposal by the end of their third semester of studies, not including summer periods. The calendar, conditions and expectations from the Thesis Proposal Defense (TPD) will be indicated in the specific discipline PhD program guidelines. After approval of the TPD, the student progress will be assessed on annual basis by the PRC. The recommendation of PRC is taken to the DGPC for endorsement and passed to the School Office.

15. For the successful completion of the PhD thesis defense, the student must satisfy the following minimum criteria:

- 1) demonstrate an original contribution to knowledge that is deemed to have high quality and international impact. This may be defined through different means, but will include independent, peer-review from an external expert not connected with the University or the PhD student or the supervisory committee.
- 2) Students must publish or get unconditionally accepted at least 1 article as main author in an international peer-reviewed renown journal at the moment of submission. Review articles cannot be claimed as a condition for the graduation requirement and indicated article has to be from the thesis. The publication must be based on the core content and contribution of the thesis. Herein, the definition of “international” is given as broadly as possible as to not to limit the destination of the paper, but it is assumed that the journal will be intended for an international audience, in English and is renown in the field of research. Renown should be taken to mean of high quality, which can be defined by its SCImago or Web of Science Journal Rank best quartile being Q1 or Q2 (if a given journal is ranked in both databases, the one that gives the highest quartile can be used in favor of the student). Students submitting multi-authored publications, including authors beyond their thesis supervisors, as evidence of having published, will need to justify their contribution to the work in the article compared with that of others in the author list who are not their supervisors;
- 3) have submitted their thesis book according to the procedures defined in the Guidelines of each specific discipline;
- 4) have successfully defended their thesis at a viva according to the procedures defined in this Handbook.

16. The conferment of the PhD degree will follow the next stages:

- 1) When a recommendation for the award of a PhD Research Degree has been made, following the approval of revisions by examiners if necessary, the student will be asked to submit the final thesis book. Please note that the regulations describe a number of possible outcomes of the examination and students may be asked to make minor amendments to the thesis or be re-examined before the research degree can be conferred.
- 2) The precise details of format and submission of the final thesis book to School Office is given in the Thesis Format Regulations within the discipline handbook. Please note that an electronic version of the thesis is also required.



- 3) Once the finally approved thesis book has been received by the School Office, the proposal for PhD conferment is put to the next GPC meeting for endorsement, passed to the Dean of the School and further to the Provost for final approval in the form of decision, following which the student will receive a letter of conferment. The student can begin using the title of 'Doctor' from that point. When the student has been formally conferred, they will then become eligible to attend the next award ceremony of the University, where the award certificate will be presented.

## **5. GRADING SYSTEM**

17. Numerical marks must be given for all taught-course assessments, except for some core courses developing soft-skills of the PhD student such as Research Methods and Ethics and Current Research Literature. The Thesis Research course that runs along all semesters in the program, including summer terms, is subject to IPS/IPU (In-Progress Satisfactory or Unsatisfactory) grading until the completion and successful oral defense of the thesis, when the grading is set to PASS/FAIL. All elective courses will have numerical marks. The overall course % mark will be rounded to one decimal place in the determination of the final course letter grade.

18. The relevant grade awarded should be corresponded to the achievement of the specified learning outcomes at the appropriate level. For all taught PhDEQF (European Qualification Framework) Level-8 courses, the student must first consult with the course instructor as soon as the grade is available in the Learning Management system. If any error is found, the student should complete a SEDS Grade Appeal Form and submit it to the course coordinator. The course coordinator will complete the appropriate form and submit it to the Dean.

19. To appeal the decisions obtained in either the Thesis Proposal Defense, CQE or Thesis Defense, the students may appeal the decision by completing a SEDS Grade Appeal Form and delivering it to the coordinator of their DGPC, who will review the case within DGPC and will recommend actions to SEDS Dean for his/her final decision.

20. If any error, procedural irregularity, prejudice on the examiner is presumed or explicitly found, the student should complete a SEDS Grade Appeal Form and submit it to the DGPC who will evaluate and make recommendation to SEDS Dean. The Dean may recommend a re-examination of the thesis proposal, CQE, oral thesis defense, or may support the decision of the examiners.

21. The SEDS will set the official deadline for the appeal process to marks for taught courses, which must be announced to the students at the beginning of each

semester. Late grade appeals will not be accepted. In any case, the appeal period expires before the Examination Board takes place. The appeal process for the PhD thesis defense results must happen within 5 working days after the defense occurs or after the results are presented to the PhD candidate, whatever occurs later.

22. Students who failed to maintain their CGPA equal or above 2.67/4.0 in a first opportunity, will enter in probation. The DGPC may then recommend to these students to take new courses or retake certain courses in order to improve their academic standing and get out of probation. For two consecutive semesters in probation the DGPC may recommend the dismissal of the student and pass to Dean for final decision. The total number of times a student may re-take a course is limited to one.

23. Students who failed the CQE for the first time will enter in probation status and will have a second chance to present and pass the CQE within a period of 1-3 months to be established by the DGPC. In case the student fails the CQE for a second opportunity, the DGPC may recommend the dismissal of the student to the Dean for final decision.

24. Students who failed the Thesis Proposal Defense (TPD) for the first time will enter in probation status and will have a second chance to present and pass the TPD within a period of 3 months to be established by their PRC. In case the student fails the TPD for a second opportunity, their PRC may recommend the dismissal of the student to the Dean for final decision.

25. Students who failed the annual progress review by their PRC (after first year) for the first time, will enter in probation status and will have a second chance to present evidence of progress requested by their PRC within a period of 3 months. In case the student fails the annual progress review for a second opportunity, their PRC may recommend the dismissal of the student to the DGPC for its endorsement and pass to Dean for final decision.

26. Students who failed the Oral Thesis Defense (OTD) for the first time will enter in probation status and will have a second chance to present and pass the OTD within a period of not less than 6 months to be established by their TEC. In case the student fails the OTD for a second opportunity, their TEC may recommend the dismissal of the student to the DGPC for its endorsement and pass to Dean for final decision.

## **6. COURSE ASSESSMENT AND EVALUATION**

27. Course assessment and evaluation will be defined by the instructor in the course specifications.

## **7. GRADUATE RESEARCH PROJECT: THE PhD THESIS**

28. All PhD students must select and declare their major research thesis topic, lead supervisor, internal co-supervisor and external co-supervisor before the deadline set by the SEDS in each of their programs. The thesis, supervisor and co-supervisors must be approved by the DGPC.

29. All changes to the thesis project, supervisor and co-supervisor must be approved by the DGPC.

30. The PhD thesis format must be in accordance with the NU thesis submission guidelines.

31. Each PhD thesis shall be examined by a PhD Thesis Evaluation Committee (TEC), which should consist of the Chair of DGPC who will serve as the Chair of the TEC, Lead Supervisor, one internal NU expert faculty and at least one external expert.

32. The thesis defense may happen in any semester of the year and will be scheduled at least 3 months after thesis and all supporting documents, including the list of proposed internal and external examiners, are submitted by the student and supervisory committee to the GPC for its approval.

33. The external thesis examiner should be a qualified professional from outside NU with doctoral degree, demonstrated expertise and reputation in the field of the thesis. The GPC will select the external member from a list of candidates provided by the thesis supervisors and student.

34. The following criteria hold for the selection of the external thesis examiner:
- 1) must not have any conflict of interest with the students and supervisors;
  - 2) must be able to examine the thesis objectively without bias or influence;
  - 3) must be academically qualified, with relevant expertise and active or non-active for no more than 3 years with extensive expertise and relevant publications in the field of the research area;
  - 4) reciprocal examining with a supervisor from another university is not permitted.

35. The PhD thesis will be presented in written form and defended before the PhD TEC under the following circumstances and conditions:

- 1) the examination must occur in a public forum\*, open to students, staff and faculty.
  - 2) the PhD candidate will make a 30-45 minute presentation of their research, which must highlight the novelty and originality of their findings. The presentation will be followed by an additional period of time for questions and answers, not longer than twice the presentation time.
  - 3) the TEC will then make a cross-examination of the PhD student.
  - 4) the forum can then ask relevant questions of the PhD student.
  - 5) after TEC questioning-answering session moderated by its chair, the supervisory committee may also ask questions and/or express their comments and recommendations regarding the quality of the work.
  - 6) the TEC will ask the audience, including student and supervisory committee, to retire to allow TEC members discussing the Examination and the thesis book and decide, through a majority, the verdict.
  - 7) thereafter the verdict may be conveyed to the PhD student and supervisory committee. However, this must be viewed as preliminary until approved by the DGPC and endorsed by GPC.
  - 8) final confirmation is sent from the GPC to the School Office and Registrar.
- (\*) In exceptional cases, it may be that the viva must occur in a closed-door proceeding due to, for example, the existence of highly confidential data connected with IPR or Confidential Disclosure Agreement/Non-Disclosure Agreement (CDA/NDA). In this case, the viva will occur without public participation and where necessary, the release of the thesis and data for dissemination will be agreed during the DPPC pre-defense assessment stage.
- 9) the thesis will be marked using a rubric approved by SEDS Teaching and Learning committee. Both internal and external examiners must submit their thesis examination reports to the DGPC.

36. The final mark of the PhD thesis defense will be either Passed or Failed. Passing mark might be direct or conditioned as: (a) approval without amendments; (b) approved with minor amendments; or (c) approved with major amendments. If approved with minor amendments, the student has up to one month to submit the amended thesis to TEC for their final approval. If approved with major amendments, the student has up to three months to submit the amended thesis to TEC for final approval. Unconditional approval is needed before TEC approval is passed to the DGPC and GPC for endorsement and then to Dean and Provost for final conferment of the diploma, given that the student has completed the minimum coursework required by the program. Disputes shall be resolved by the DGPC.

37. After the thesis examination, in case of conditioned approval, the student may need to modify the thesis in accordance to the examiners' comments. The final thesis shall be approved by the the supervisory committee (lead supervisor and co-supervisors) and the TEC.

38. Re-examination of the PhD thesis may be permitted only once, with the approval of the Dean of SEDS and it could happen in a period of not less than 6 months after the failed defense happened.

39. The PhD student must complete the License Agreement on accession of Open access archives (repository) to NU and deposit a softcopy of the final approved thesis in the library. One soft copy of the PhD thesis shall be lodged in the office of the SEDS. Additional copies of theses for supervisors shall be made through agreement between the PhD students and their supervisors. All intellectual property arising from the PhD thesis is owned by the University unless exception has been agreed between the University and the student.

40. The DGPC, with the endorsement of the GPC, will only recommend to the SEDS the award of the PhD degree after a softcopy of the thesis has been deposited into the NU library.

## **8. STUDENT SUPPORT AND GUIDANCE**

41. The supervision of the PhD student and his/her research is the responsibility of the Supervisory Committee, defined as Lead Supervisor appointed as a full-time faculty at the department of the PhD discipline, at least one Internal Co-Supervisor from any school in the University, and at least one Co-Supervisor external to the University. External supervisors must be identified on the basis that they meet the University's supervisor criteria and are expected to participate in discussing the PhD proposal research plan, annual project progress meetings and other activities of the Supervisory Committee.

42. Each student must have a Supervisory Committee conformed by the end of the first year..

43. Although it is desirable that the Lead Supervisor has already experience of successful supervision of PhD students to completion, it is not compulsory provided that collectively the Supervisory Committee members have such experience.

44. The supervisory committee has the responsibility to foster the PhD student's development as an independent professional researcher. The Supervisory Committee should also provide the necessary academic guidance and support throughout all stages of research and writing. This will involve:

- 1) helping define the research direction, the research question and formulate possible hypotheses;
- 2) providing guidance on the management of the research project;
- 3) providing advice on existing scholarly debate and present state of knowledge;
- 4) an introduction to the major sources of information in the field of inquiry;
- 5) helping with both general and advanced research techniques appropriate to the field of inquiry;
- 6) introducing the candidate into the relevant research community;
- 7) ensuring that the distinction between mastering existing knowledge and developing original work is made explicit and reflects the requirements of the regulations;
- 8) making clear the standard of work required for doctoral thresholds, both in conceptual and methodological terms.
- 9) to initiate and oversee the research plan approval;
- 10) to maintain regular monitoring and evaluation of the candidate's progress and to report on this as required;
- 11) to agree a schedule of regular meetings with the student, in accordance with the regulations and in the light of discussion of arrangements with the student;
- 12) to approve written records of supervisory meetings, as drafted by students and to ensure that they are sent to School Office and kept on the student's file;
- 13) to be accessible to the student at appropriate times when he or she may need advice;
- 14) to give guidance about the nature of research and the standard expected, the planning of the research program, literature and sources and the problem of plagiarism;
- 15) to request written work as appropriate, and return such work with constructive criticism and in reasonable time;
- 16) to arrange as appropriate opportunities for the student to talk about his or her work to peers, at national and international conferences, meetings, etc.;
- 17) to ensure that the student is aware of the University regulations on Intellectual Property and that he or she adheres to the requirements and observes the principles contained therein;
- 18) to provide training in the ethical, legal and other conventions used in the conduct of research, and support the student in the consideration of these as appropriate;
- 19) to conduct the initial assessment, and on-going review, of the student's training and skills development needs;

- 20) to ensure that the student is aware of institutional-level sources of advice and support, including careers guidance, health and safety legislation, equal opportunities policies and disabled student support services;
- 21) to maintain and develop the necessary skills and expertise in order to perform all facets of the role effectively (including taking up appropriate continuing professional development opportunities);
- 22) to ensure, as far as possible, that disabled students and students with specific learning difficulties have an equal opportunity to partake in Research Degrees;
- 23) if working in a potentially hazardous research environment, to ensure and monitor that the student possesses adequate technical competence in any relevant research techniques, so that he or she presents no undue risk to themselves, others, and/or the facilities of the University or its partner organizations;
- 24) to give detailed advice on the necessary completion of successive stages of work so that the whole may be submitted within the scheduled time;
- 25) to ensure that the student is made aware of inadequacy of progress or of standards of work below that generally expected;
- 26) to identify prospective external and internal examiners to the PPC.
- 27) wherever possible, supervisors will encourage candidates to collaborate with colleagues from other organizations during their program of research by facilitating introductions to contacts with mutual research interests, identifying networking opportunities such as research seminars and conferences, and by providing opportunities for reciprocal visits and joint working.
- 28) if the Supervisory Committee is unable to provide the expertise on a particular aspect of the project they must ensure the provision of appropriate advice either from within the University or from outside. All supervisory committee changes must be submitted (as per PhD Handbook Annex) for approval.

34. The Lead Supervisor should have adequate time for dedicated supervision and be reliably and regularly available to their students. The allocation of University supervisor(s) time of 45 hours total per Lead supervisor and per Internal co-supervisor per student per year for a full-time student will be taken into account in school workload planning. At least one annual meeting of the student and the full Supervisory Committee (i.e., LeadSupervisor and Internal/External Co-Supervisors) is required, whether by video-conference or in person.

35. In each supervisory committee, the Lead Supervisor will have primary administrative responsibility for the student and will also be responsible for annually

reporting on the student's progress. A supervisor cannot act as lead supervisor for more than six students at any one time, and therefore in each year should not take more than two PhD students as their Lead Supervisor.

36. The lead supervisor will also have responsibility for planning the financial expenditure of the PhD project and its timely submission to the School management for inclusion in the School's budget. According to the financial regulations of the Republic of Kazakhstan, the financial year coincides with the calendar year starting 1 January and ending 31 December of each year and the lead supervisor should ensure through negotiations with School management team that the proposed financial expenditure is included in the School budget.

37. No student may leave a supervisor without the approval of their DGPC. To change the supervisory committee, the PhD Supervisory Committee Changes Form (as per PhD Student Handbook Annex) must be completed and submitted to the DGPC, which will convene a meeting with the student and/or the current supervisory committee. A decision can then be made and a progression plan of changing supervisors can be implemented. No student can remain in the PhD program without a supervisory committee.

## **9. LEAVE OF ABSENCE**

38. The procedures as specified in APPs shall be followed.

## **10. DISMISSAL AND VOLUNTARY WITHDRAWAL FOR GRADUATE STUDENTS**

39. The procedures as specified in the APPs for dismissal and voluntary withdrawal shall be followed. When a student does not fulfill the graduation requirements, the DGPC will decide if the student is recommended for an extension of candidature. The final decision will be taken by the SEDS Dean.

**Note:** Implementation of the curriculum is subject to availability of required resources.