



**MINISTRY OF EDUCATION AND SCIENCE  
OF THE REPUBLIC OF KAZAKHSTAN**

**NON-PROFIT JOINT - STOCK COMPANY  
«D.SERIKBAYEV EAST KAZAKHSTAN TECHNICAL UNI-  
VERSITY»**

**ACADEMIC ACTIVITIES OFFICE  
OFFICE REGISTRAR**

**INTEGRATED MANAGEMENT SYSTEM**

**APPROVED**

Acting Chairman of the Board – Rector  
NJC «D.Serikbayev EKTU»

S. Rakhmetullina

15.11.2022

**TRANSFER AND RESTORATION OF STUDENTS  
IN B NJC «D.SERIKBAYEV EKTU»**

**Documented procedure**

DP NJC «EKTU» 017-I-2022

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| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 2 from 15</b>     |

The Office Registrar of the Office has developed the documented procedure for Academic Activities on the basis of international standards ISO 9001:2015, ISO 37001:2016, as well as on the basis of standards and recommendations for quality assurance in the European Higher Education Area ESG.

Discussed at the meeting of the Coordinating Council for the Integrated Management System of NJC «EKTU», Protocol No. 1 dated October 31, 2022.

It becomes effective from the date of approval.

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|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
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## Content

|   |    |
|---|----|
| <b>1. Purpose and scope of application</b>  | 4  |
| <b>2. Regulatory documents</b>  | 4  |
| <b>3. Terms and definitions. Abbreviations</b>  | 4  |
| <b>4. General rules for the transfer and restoration of students</b>                  | 5  |
| 4.1 General provisions  | 5  |
| 4.2 Restoration of students in NJC «EKTU»   | 8  |
| 4.3 Transfer of a student from a paid basis of training to a vacant educational grant | 8  |
| 4.4 Transfer from one educational program to another (from one university to another) | 10 |
| 4.5 Transfer of students from foreign universities                                    | 12 |
| 4.6 Transfer of students from course to course  | 12 |
| 4.7 Repeated year of study  | 13 |
| <b>5. Responsibility and authority</b>  | 13 |
| <b>8. Records</b>   | 13 |
| <b>Appendix 1 – Collation statement</b>   | 14 |
| <b>Appendix 2 – Record of Changes</b>   | 17 |

|   |  |                           |
|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 4 from 15</b>     |

## **1. Purpose and scope of application**

1. This documented procedure of the quality management system has been developed in accordance with the requirements of ISO 9001:2015, ISO 37001:2016, ESG - 2015 and regulates the procedure for the transfer and restoration of students in NJC « D. Serikbayev EKTU» (hereinafter referred to as NJC «EKTU»).

The requirements of this documented procedure are mandatory for all structural divisions and councils of NJC «EKTU».

It is an internal regulatory document of NJC «EKTU» and is not subject to submission to other parties, except for auditors of certification bodies during quality management system audits, as well as to partner consumers (upon their request) with the permission of the Chairman of the Board - Rector of NJC «EKTU».

## **2. Regulatory documents**

2. The following regulatory documents were used in the development of this documented procedure:

1) Standard rules of activity of organizations of higher and (or) postgraduate education, approved by the Order of the Minister of Science and Higher Education of the Republic of Kazakhstan dated 30.10.2018 No. 595.

2) The state mandatory standard of higher and postgraduate education, approved by the Order of the Minister of Science and Higher Education of the Republic of Kazakhstan dated 20.07.2022 No. 2.

3) Rules for the organization of the educational process on credit technology of training approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated April 20, 2011 No. 152.

4) P NJC EKTU 033 «Organization of summer semesters and additional classes».

5) ISO 9000:2015 Quality Management Systems. Basic provisions and dictionary.

6) ISO 9001:2015 Quality Management Systems. Requirements.

7) ISO 37001:2016 Anti-corruption management Systems. Requirements and application guidelines.

8) Standards and Recommendations for Quality Assurance in the European Higher Education Area (ESG) – 2015.

## **3. Terms and definitions. Abbreviations**

3. The following terms, definitions and abbreviations are used in this Documented Procedure:

1) **Term** – the period of theoretical training, established independently by the organization of education in one of three forms: semester, trimester, quarter.

2) **Academic credit** – the unified unit for measuring the volume of scientific and (or) educational work (load) of the student and (or) the teacher.

|   |  |                           |
|---|--|---------------------------|
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| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 5 from 15</b>     |

3) **Individual curriculum** – the curriculum formed for each academic year by students independently with the help of an adviser on the basis of the educational program and the catalog of elective disciplines and (or) modules.

4) **Prerequisite** – disciplines and (or) modules and other types of academic work containing knowledge, skills, skills and competencies necessary for mastering the studied discipline and (or) modules.

5) **Postrequisite** – disciplines and (or) modules and other types of academic work, the study of which requires knowledge, skills, abilities and competencies acquired after completing the study of this discipline and (or) modules.

6) **Transcript** – a document containing a list of mastered disciplines and (or) modules, and other types of academic work for the corresponding period of study, indicating credits and grades.

7) **NJC «EKTU»** – Non-profit joint stock Company «D. Serikbayev East Kazakhstan Technical University».

8) **SSC** – Student service centre.

9) **UNT** – unified national testing.

10) **CT** – comprehensive testing.

11) **IC** – individual curriculum.

12) **WC** – working curriculum.

13) **OHPE** organization of higher and (or) postgraduate education.

14) **AQ** - academic question.

15) **AAO** –Academic Activities Office

16) **OR** – office registrar

## **4. General rules for the transfer and restoration of students**

### **4.1 General provisions**

4. DP NJC «EKTU» 017 Transfer and restoration of students in NJC «EKTU» is aimed at creating conditions that ensure the accounting and registration of the movement of the contingent of students in accordance with regulations and acts.

5. The order of transfer and restoration of students are determined by the rules of NJC «EKTU».

6. The student is transferred or restored to NJC «EKTU» regardless of the terms of expulsion.

7. A student of NJC «EKTU» is transferred or restored after expulsion, if they have fully completed the first academic period of the program being mastered according to the individual curriculum.

8. When transferring or restoring students, the transfer of training results is carried out by the Quality Assurance Commission based on the list of studied disciplines, their programs and volumes in academic hours or credits reflected in the transcript. The Commission's decision is formalized by a protocol, on the basis of which the Deputy dean of schools / department draws up a collation statement (Appendix 1) and determines the academic difference in the disciplines of the WC studied during previous academic periods.

|   |  |                           |
|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 6 from 15</b>     |

If the authorized body makes a decision to suspend, revoke the license and (or) the appendices to the license to engage in educational activities, the student of NJC «EKTU» is transferred to other OHPE to continue studying during the current academic period from the date of the decision by the authorized body to suspend, revoke the license and (or) appendices to the license.

In case of voluntary termination of the license and (or) the appendices to the license to engage in educational activities or liquidation of NJC «EKTU», the student is transferred to other OHPE to continue training during the current academic period from the date of voluntary return of NJC «EKTU» on the termination of the license and (or) the appendices to the license or liquidation.

In case of suspension, revocation or expiration of the accreditation, the student of NJC «EKTU» is transferred to other OHPE to continue his studies within one month from the date of the decision on suspension, revocation or expiration of the accreditation.

9. The transfer or restoration of students is carried out in NJC «EKTU», having a license and (or) an appendix to the license to engage in educational activities, as well as having international specialized accreditation of national and (or) foreign accreditation bodies included in the registers and (or) associations of accreditation bodies of the state-members of the Organization for Economic Cooperation and Development (OECD) in the field of education.

In the event of a decision by the authorized body to suspend, revoke the license and (or) the appendix to the license to engage in educational activities, voluntary termination of the license and (or) the appendix to the license to engage in educational activities or the liquidation of the OHPE, the restoration of students in NJC «EKTU» is not carried out.

In the event of a decision by the authorized body to suspend, revoke the license and (or) the appendix to the license to engage in educational activities, voluntary termination of the license and (or) the appendix to the license to engage in educational activities or liquidation of NJC «EKTU», suspension, revocation or expiration of the accreditation period, NJC «EKTU» must ensure the placement of relevant information on the official website of NJC «EKTU» with obligatory notification of the students.

At the same time, the information is posted on the main page of the official web resource of NJC «EKTU». The information is located above the header of the site, the font size is at least 20 pixels (px), the font is bold, in the news block (if available on the main page). The information is published at the first position of the list and does not move down when adding newer news. It is not allowed to use a small font size.

10. A transcript is issued to a student or expelled bachelor or master student in the absence of arrears in tuition fees and other educational services. If there is a debt, the specialist of the Student service center (hereinafter referred to as the SSC) has the right to refuse to provide the service until the full repayment of its amount.

11. Applications of students for transfer and restoration are considered by the Chairman of the Board - Rector during the vacation period within five days before the start of the next academic period of NJC «EKTU». A transcript and a collation statement are attached to the transfer/restoration application;

12. When transferring and restoring undergraduate students on the basis of general

|   |  |                           |
|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 7 from 15</b>     |

secondary education (on the basis of a school), the student must provide a certificate of passing the UNT; for a master's degree there must be a certificate of passing the CT.

13. When transferring students to the NJC «EKTU», the direction of training and the profile of the educational program, academic achievements, as well as cases of violation of academic integrity by students are taken into account.

14. The transfer of mastered credits is carried out on the basis of a comparison of the structure of the educational program, the content of the list of mastered disciplines, their volumes, and the results of training by the Quality Assurance Commission, which can transfer up to 100% of the mastered credits, despite the difference in the name of the disciplines.

15. Only disciplines for which the final grade is set in the range from A to D are subject to transfer. If the score is lower, this discipline is considered to be the discipline of difference.

16. The difference in the forms of final control is not taken into account when transferring the mastered credits in academic disciplines.

The credit is equated to the letter system of assessment of a student's educational achievements, corresponding to the digital equivalent of a four-point system in the range from the minimum D (1.0; 50-54%) to the maximum A (4.0; 95-100%), according to the Rules of the organization of the educational process on the credit technology of education, approved by the order of the Minister of Education and Science of the Republic Kazakhstan dated April 20, 2011 No. 152.

17. In order to eliminate the academic difference in the disciplines of the working curriculum, the student enrolls in these disciplines, attends all types of training sessions during the academic period, passes the current control, receives admission to the final control. The form of passing the final control on the discipline of difference is determined orally by the dean of the school / department. The student turns to the teacher, performs tasks, he is determined by the grades of the admission rating for the discipline. After passing the final control, the teacher makes an assessment in the statement of achievement of additional classes through his login and password in the SPOTAL system.

18. Based on the submitted final statements of additional classes to eliminate the difference, the employees of SSC form a memo (addressed to the Chairman of the Board - the Rector of the University) on payment to teachers for additional classes. The following hours of classes are subject to payment, depending on the occupancy of the group and the number of students:

| Group size   | Number of hours per credit payable |
|--------------|------------------------------------|
| 1-3 students | 1 hour                             |
| 4-5 students | 2 hours                            |

19. Students are allowed to eliminate the academic difference by the order of the Chairman of the Board - the Rector on the basis of an application and a payment receipt.

20. The term for eliminating the academic difference is until the end of the current

|   |  |                           |
|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 8 from 15</b>     |

academic year, except for the final year. A graduate student must eliminate the academic difference before the beginning of the last academic period.

21. The cost of eliminating the academic difference is determined by the financial and analytical department of the university and approved by the Chairman of the Board - Rector for each academic year.

22. If the disciplines of academic difference are not included in the schedule of academic classes of the current academic period, the student is enrolled in them in the summer semester. The academic difference in the disciplines of the working curriculum, not eliminated in the summer semester, is further taken into account as academic debt.

23. NJC «EKTU» provides transfer and restoration of students in the unified information system of education of the authorized body in the field of education with the attachment of relevant documents.

#### **4.2 Restoration of students in NJC «EKTU»**

24. Restoration to the number of students is carried out only on a fee-based basis for an educational program that is valid at the time of restoration, depending on the course of restoration.

25. A student on a paid basis, expelled for non-payment of tuition fees, in case of repayment of this debt, can be restored within four weeks from the date of expulsion. At the same time, a new contract is concluded during the restoration, and the cost of training under the newly concluded contract is set as for the current year of admission.

26. The restoration procedure is carried out in the following order:

1) the student submits an application for reinstatement to SSC addressed to the Chairman of the Board - the Rector NJC «EKTU».

2) in accordance with the visa of the dean of the school / department on the application, the Board Member – Vice-Rector for AA issues an order for the restoration of the student;

3) the dean of the school / department approves the IC, which is placed in the student's personal file.

If a student is restored to NJC «EKTU» from another OHPE, the head of OHPE where the student previously studied, on the basis of a written request from NJC «EKTU», sends the student's personal file, leaving the copy of all documents contained in the personal file, as well as a list of the handling documents.

27. Students called up for military service in the Armed Forces of the Republic of Kazakhstan during the training period are restored to the appropriate course of study.

28. A student expelled for violating the principles of academic integrity is not subject to restoration.

#### **4.3 Transfer of a student from a paid basis of training to a vacant educational grant**

29. The transfer of a student from a paid basis of training to study under the state educational order is carried out in accordance with the procedure approved according to subparagraph 5, Article 4 of the Law “On Education” (vacant educational grant).



|   |  |                           |
|---|--|---------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b> |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 9 from 15</b>     |

30. Vacant educational grants released in the process of obtaining higher or post-graduate education (hereinafter referred to as vacant grants) are awarded on a competitive basis to students on a paid basis for groups of educational programs.

The competition is held based on the results of intermediate assessment based on the average GPA score with the issuance of a certificate.

NJC «EKTU» places an announcement on the website about an open competition with an indication of the number of vacant educational grants.

In the case of identical indicators of the average GPA, students who have only A, A - (“excellent”) grades have the pre-property right, in the next turn – grades from A, A- (“excellent”) to B+, B, B-, C+ (“good”), then – mixed grades for the entire period of study.

The award of vacant educational grants released in the process of obtaining higher and (or) postgraduate education is carried out during the vacation period on a competitive basis in the following order:

1) a student on a paid basis submits an application addressed to the Chairman of the Board - Rector for further study under an educational grant of higher or postgraduate education with an indication of consent to the publication of his GPA score in the public domain;

2) NJC «EKTU» publishes on the website the data of applicants for vacant grants indicating the GPA score in the context of the direction of training, course and groups of educational programs;

3) the received applications are considered at the meeting of the Academic Council and the Scientific Council;

4) Based on the decision of the Academic Council, NJC «EKTU» sends a list of applicants for transfer to vacant educational grants to the authorized body in the field of education for decision-making by August 5 and January 25 of this year, respectively. The list is accompanied by copies of the student’s application, the decision of the Academic Council, an extract from the student’s transcript, a copy of his identity document, and the certificate of the educational grant holder (original) expelled from NJC «EKTU»;

5) vacant educational grants, released in the process of obtaining higher and (or) postgraduate education and submitted to the authorized body in the field of education due to the absence of applicants, are redistributed by the republican commission on a competitive basis;

6) the list of vacant educational grants released in the process of obtaining higher and (or) postgraduate education and submitted by the OHPE due to the absence of applicants is published on the website of the authorized body in the field of education;

7) the competition is held among students on a paid basis from other OHPE who have submitted documents for participation in the competition, in the context of groups of educational programs, a course based on the results of intermediate certification;

8) the authorized body in the field of education reviews the received documents in the context of groups of educational programs, forms and terms of study, taking into account the year of admission and, if a positive decision is made, issues an order to award a vacant educational grant of higher and (or) postgraduate education (in the absence of applicants for a group of educational programs, vacant educational grants released in the

|   |  |                            |
|---|--|----------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b>  |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 10 from<br/>15</b> |

process of obtaining higher and (or) postgraduate education are redistributed within the direction of training or the field of education);

9) based on the order of the authorized body in the field of education, the National Testing Center draws up a certificate and transmits the data to the relevant NJC «EKTU» within three working days;

10) on the basis of the certificate, the Chairman of the Board – Rector of NJC «EKTU» issues an order for further training on an educational grant.

#### **4.4 Transfer from one educational program to another (from one university to another)**

31. The transfer of students is carried out from one higher educational institution to another, from one educational program to another, only for training on a paid basis, with the exception of transfer within the group of educational programs, since the grant was issued for a group of educational programs.

32. The student, at will, is transferred to another OHPE with the preservation of the educational grant, the receiving OHPE takes into account the direction of training, the profile of the educational program, academic achievements, as well as cases of violation of academic integrity by students.

33. The procedure for transferring a student from one OHPE to another is carried out in the following order:

1) a student who wants to transfer to another OHPE submits an application in any form for transfer addressed to the Chairman of the Board – Rector, where he studies, and, having received a written consent for the transfer, sealed, addresses the head of the OHPE he is interested in (the application must be signed by the dean of the school / department, the head of the registrar's office, the head of the Department for academic activity, Member of the Management Board – Vice-Rector for AA);

2) a transcript is attached to the application for transfer to the name of the head who accepts OHPE; an application addressed to the head of OHPE where he studied (with the signature of the head and seal); copies of the education document with the application, the certificate of passing the UNT (for bachelor's degree), the certificate of passing the CT (for master's degree), the certificate of the holder of the educational grant (if the student is one), a copy of the license and the appendix to the license of OHPE, copies of the institutional accreditation of OHPE, specialized accreditation of the EP, a copy of the identity card and a collation statement;

3) in accordance with the visas of the Dean of the school/department, the head of the OR, the head of AAO on the application, an order for the transfer of the student is formed by the Member of the Board – the Vice-Rector for AA;

4) the dean of the school/ department approves the individual curriculum of the student in agreement with the office registrar.

34. The transfer of a student from groups of educational programs of higher education requiring creative training to other groups of educational programs is carried out in the presence of an UNT certificate with a score not lower than the established threshold score in accordance with the Standard Admission Rules to training in educational organi-

|   |  |                            |
|---|--|----------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b>  |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 11 from<br/>15</b> |

zations that implement educational programs of higher and postgraduate education, approved in accordance with subparagraph 11, Article 5 of the Law “On Education”.

35. The application for transfer from groups of educational programs requiring creative training to other groups of educational programs is considered by the Chairman of the Board - Rector within 3 working days after receiving the results of the UNT, in the same time the transfer is made by order of a Member of the Board – Vice-Rector for AA.

36. The transfer of a student under an educational grant from another OHPE to the NJC «EKTU» is carried out on the same course.

37. The head of OHPE to which the student is transferred, within three working days from the date of issuing the order, sends a written request to OHPE, where the student previously studied, about sending his personal file. A copy of the order on a student’s enrollment by transfer is attached to the request.

38. The head of OHPE, where the student previously studied, after receiving such a request, issues an order for expulsion with the wording “expelled in connection with the transfer to (name of OHPE)” and within three working days from the date of the order for expulsion, sends the student’s personal file to the address of the host OHPE.

In OHPE where the student studied, copies of all personal file documents, a student ID card and an inventory of all the documents remain.

39. When transferring a student on a paid basis to NJC «EKTU» from another OHPE, an agreement is concluded between him and NJC «EKTU».

40. The transfer of a student on a paid basis from one educational program to another within NJC «EKTU» is executed by order of a Member of the Board - the Vice-Rector for AA, while a new education contract is concluded.

41. A student under an educational grant who has the conclusion of the medical advisory commission on the prohibition of studying in this specialty / educational program as a result of a disease acquired during the period of study, is transferred from one specialty / educational program to another to an existing vacant position under an educational grant or order.

42. When transferring students on a paid basis, the course of their further education is determined taking into account the prerequisites and the total amount of academic difference.

43. The transfer is carried out to the same course if the total amount of academic difference (taking into account the prerequisites necessary for mastering) is no more than 35 academic credits. The protocol of the decision of the Quality Assurance Commission allows the transfer of up to 40 academic credits.

44. In the case when the students have studied the discipline of the mandatory component in a lesser extent than provided by the WP of NJC «EKTU», this discipline is not considered a discipline of difference. For the student, the protocol of the decision of the Quality Assurance Commission sets a deadline for additional study of the missing number of credits in this discipline. The final grade for this discipline is determined as a weighted average value based on the results of studying the discipline in another OHPE) and additional study in NJC «EKTU».

45. Students who have entered the target places according to the educational grant

|   |  |                            |
|---|--|----------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b>  |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 12 from<br/>15</b> |

approved for NJC «EKTU», within the quota allocated by NJC «EKTU», can be transferred to another OHPE only on a paid basis.

46. The transfer of students, undergraduates, doctoral students from NJC «EKTU» to the national OHPE is carried out in accordance with the requirements of the national OHPE and subject to additional payment by students of the difference in the cost of the educational grant.

#### **4.5 Transfer of students from foreign universities**

47. The transfer of students from foreign universities is carried out subject to the placement of a state educational order for the appropriate level of education, field of education and year of admission and (or) the availability of international specialized accreditation of national and (or) foreign accreditation bodies included in the registers and (or) associations of accreditation bodies of the member States of the Organization for Economic Cooperation and Development (OECD) in the field of education.

48. When transferring or restoring a student from a foreign educational organization, the following documents are submitted:

- 1) a document about the mastered training programs, a certificate of training or a transcript;
- 2) a document on completion of the previous level of education, which must undergo the nostrification procedure in the Republic of Kazakhstan in accordance with the established procedure;
- 3) the results of entrance tests for admission to foreign educational organizations.

49. On the application for restoration or transfer from a foreign educational organization, the dean of the school / department notes the presence of international specialized accreditation in accordance with paragraph 4 of this procedure (indicates the year of completion, the validity period of the certificate, the accreditation body) and (or) notes the presence of a contingent studying under a state educational grant of the appropriate level, field of education and the year of admission.

#### **4.6 Transfer of students from course to course**

50. Transfer of students from course to course is carried out until September 1 of the current year according to the results of the academic year (intermediate attestations), taking into account the results of the summer semester, if the conditions for transfer from course to course are met.

51. The conditions for transferring students from course to course are approved annually by the order of the Chairman of the Board - the Rector.

52. The transfer of a student from course to course is executed by order of a Member of the Board – the Vice-Rector for AA.

A student who has not fulfilled the conditions of transfer from course to course remains for a second year of study.

53. A student who has fulfilled the condition of transfer to the next course, in the presence of academic debt, liquidates it on a fee basis, regardless of whether the student is the owner of an educational grant or is studying under the terms of an agreement with full

|   |  |                            |
|---|--|----------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b>  |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 13 from<br/>15</b> |

reimbursement of tuition costs according to P of NJC «EKTU» 033 “Organization of summer semester and additional classes”.

#### **4.7 Repeated year of study**

54. The repeated year of study is provided by the order of the Chairman of the Board - the Rector of the University (a Member of the Board - the Vice-Rector for AA). For students left for a repeated year of study, the educational services of the repeated year are provided on the terms of a contract with full reimbursement of costs. A student who has been left for a repeated year of study and has not concluded an “Agreement for the provision of educational services for the training of a specialist with a higher education (repeated year of study)” by August 25 of the current academic year, is expelled for academic failure.

A student on an educational grant who is left for a repeated year of study is deprived of educational grants and further studies on a paid basis.

55. In the absence of an educational program of the same name, second-year students are provided with a repeated year of study according to a related educational program included in the same EP group.

56. Students who are left for a repeated year of study form an IC. The terms and procedure for passing the difference disciplines are established in accordance with paragraph 4, subparagraph 17 of this procedure.

57. The cost of a repeated -year credit is determined by the financial and analytical Department of the university and approved by the Chairman of the Board – Rector for each academic year.

### **5. Responsibility and authority**

58. The deans of schools/departments, the head of the Office Registrar, the Head of the Department for Academic Activities, the Member of the Board – the Vice-Rector for AA are responsible for the transfer and restoration of students.

The deans of the schools/faculty, the head of the registrar's office, the head of the Office of Academic Affairs, the Member of the Board - Vice-Rector for AB are responsible for the transfer and restoration of students.

### **6. Records**

59. The quality records generated in the course of work under this documented procedure include:

- 1) transfer/ restoration orders,
- 2) applications for transfer or restoration,
- 3) personal files of students.

|   |  |                            |
|---|--|----------------------------|
| <b>Non-profit Joint-stock Company<br/>D.Serikbayev East Kazakhstan technical university</b> |  | <b>Edition:<br/>first</b>  |
| <b>Integrated management<br/>system</b>   | <b>DP NJC «EKTU» 017-I-2022<br/>Transfer and restoration of students in<br/>NJC «D. Serikbayev EKTU»</b> | <b>Page 14 from<br/>15</b> |

Appendix 1

### Collation statement

to the transfer / restoration application \_\_\_\_\_  
(underline the necessary) (Student's full name)

to \_\_\_\_\_ course, EP - \_\_\_\_\_,

form of education - \_\_\_\_\_,

on the base \_\_\_\_\_  
(basic education)

Translation (restoration) from \_\_\_\_\_  
(name of OHPE, school / department)

Previously expelled by Order No. \_\_\_\_\_ dated \_\_\_\_\_

for \_\_\_\_\_  
(reason for expulsion)

#### Required Component:

| No. | Disciplines on WC to which the transfer / restoration is carried out |                   | Transcript disciplines |                   |  | A note about the re-crediting / about the difference |
|-----|--|-------------------|------------------------|-------------------|--|--|
|     | Name of the discipline   | Number of credits | Name of the discipline | Number of credits | Assessment by discipline (by transcript) |  |
|     |  |                   |                        |                   |  | Re-crediting ( <i>indicating the grade</i> )         |
|     |  |                   |                        |                   |  | Difference   |

#### Component of choice:

| No. | Disciplines on WC to which the transfer / restoration is carried out |                   | Transcript disciplines |                   |  | A note about the re-crediting / about the difference |
|-----|--|-------------------|------------------------|-------------------|--|--|
|     | Name of the discipline   | Number of credits | Name of the discipline | Number of credits | Assessment by discipline (by transcript) |  |
|     |  |                   |                        |                   |  | Re-crediting * <i>indicating the grade</i>           |
|     |  |                   |                        |                   |  | Difference **  |

**The total amount of disciplines of academic difference \_\_\_\_\_ credits.**

Note:

\* - the elective course can be transferred if it has at least a number of credits and corresponds to the educational program of EKTU;

\*\* - the elective course is the difference (for example, if this discipline is a necessary prerequisite for the educational program of EKTU).

The deadline for eliminating the difference in curricula is up to \_\_\_\_\_

I am familiar with the list of disciplines of the difference and the timing of the elimination of the difference:

\_\_\_\_\_  
(signature, date)

Dean (Deputy Dean) \_\_\_\_\_  
(signature, date)

