

Admission Policy and Procedures to the School of Mining and Geosciences PhD Programs at the autonomous organization of education Nazarbayev University

Category: Policy

Approval Date: 08.04.2022

Effective Date: 08.04.2022

Level of Access: Open to Public

Classification Number: 2.1 ADMS

Approving Authority: Provost

Registration Number: 40-Н/К

Owner: School of Mining and Geosciences

Revision Date: 19.12.2022

Applicability: NU and NU Applicants

Retired Documents:

Title: Rules for Admission to the School of Mining and Geosciences PhD Programs

Date: 08.04.2020

Registration Number: 55-Н/К

Approving Authority: Provost



Section 1. Purpose and Application

1.1. This Admission Policy and Procedures to the School of Mining and Geosciences PhD Programs at the autonomous organization of education Nazarbayev University (hereinafter – Policy and Procedures) establishes the policy and procedures for the management and compliance during the admission process.

1.2. This Policy and Procedures are applied to the School of Mining and Geosciences PhD Programs at the autonomous organization of education Nazarbayev University and the applicants applying to the PhD Programs.

Section 2. Definitions

2.1. Basic definitions and meanings of the abbreviations and capitalized terms used in this Policy and Procedures are:

2.1.1. **Admissions Committee** - advisory and consultative body of the University established to implement arrangements for admission to the Program;

2.1.2. **Admission cycle** - an admissions term of processes starting from application throughout the enrollment to the Program;

2.1.3. **Admissions Department** - the unit of the University designated to facilitate admission to the Foundation, undergraduate, and graduate programs of the University;

2.1.4. **CGPA** (Cumulative Grade Point Average) - a calculation of the average of all of a student's grades contributing to the degree;

2.1.5. **Conditional admission/enrollment** – a type of admission/enrollment of applicants to the Program with a term or terms specified officially by the decision of the Admissions Committee of the Program at the stage of admission and the decision of the Provost of the University or his/her designated person at the stage of enrollment. This type of admission/enrollment is limited to final year Master's students or the applicants enrolled with Zero Year for Graduate Programs;

2.1.6. **ETS** (Educational Testing Service) - a private nonprofit educational testing and assessment organization, that administers international tests, including the TOEFL;

2.1.7. **External expert** - a recognized professional with relevant knowledge and experience who is familiar with the Program domain and is external to the School in which he/she is involved in conducting reviews and evaluations of applicants, as well as serving as external readers or evaluators to assure quality assurance;

2.1.8. **GMAT** (Graduate Management Admission TEST) - a standardized test for measuring aptitude to succeed academically in graduate business studies, developed by GMAC, the Graduate Management Admission Council (USA);

2.1.9. **GRE** (Graduate Record Examinations) - a standardized test used to measure verbal reasoning, quantitative reasoning, analytical writing and critical thinking skills, developed by the Educational Testing Service (USA);

2.1.10. **IELTS** (International English Language Testing System, Academic version) - a standardized test to define the level of knowledge of the English



language, jointly managed by the British Council, IDP Education, and Cambridge English Language Assessment;

2.1.11. **Personal account** - online service providing a personal space on the University website upon registration;

2.1.12. **Program** - one of the PhD programs, specified in Appendix to this Policy and Procedures, provided by the School of Mining and Geosciences;

2.1.13. **School** - School of Mining and Geosciences of the University, in which the Program is offered;

2.1.14. **Strategic Partner** - an organization approved by the authorized body of the University, having relevant resources (intellectual, scientific, methodological, educational, technological, technical, human) and implementing its activities in one or several of the following spheres: scientific-research, modern methodology and education technology, development and implementation of educational programs, etc., or other competent authority of the University as a Partner Institution to perform a basic or auxiliary advisory role in relation to the University, its Schools and/or subsidiaries in providing educational and/or research services under the relevant Agreement;

2.1.15. **TOEFL** (Test of English as a Foreign Language) - a standardized test to define the level of knowledge of the English language, developed by the Educational Testing Service (USA);

2.1.16. **University** - autonomous organization of education Nazarbayev University.

2.1.17. **Zero Year of Graduate Programs** – a two-semester, non-credit bearing, full-time intensive English and refresher course of study for students accepted into an University graduate degree program but who lack the English requirement necessary for immediate entry into the Schools.

2. 2. Terms and definitions not used in this Policy and Procedures shall be defined by the internal documents of the University.

Section 3. Main Provisions

3.1 Admission Requirements

3.1.1. Admission to the Program shall be on a competitive basis.

3.1.2. In order to be eligible for inclusion in the selection process for admission to the Program, all applicants must meet the provisions of this Policy and Procedures.

3.1.3. The specific admission requirements of each Program are provided in the Appendix to this Policy and Procedures.

3.1.4. The relevance of the academic and experiential background, and the equivalency and appropriateness of earlier degrees, will be determined by the Admissions Committee.

3.2 Application Process

3.2.1. Applicants applying to the Program in the Personal account (www.admissions.nu.edu.kz) are required to:



1) accept the consent for personal data processing and complete and upload an online application form.

2) upload scanned copies of the required documents indicated in Appendix to this Policy and Procedures before the indicated deadline.

3) verify results of valid IELTS or TOEFL certificate scores from the Test Administrator's system and submit its scanned copy before the indicated deadline.

4) pay a non-refundable registration fee. The procedures of charging a non-refundable registration fee or exemption from payment of the registration fee shall be approved by the University Managing Council.

3.2.2. The Admissions Committee and/or Admissions Department may request additional documents when necessary.

3.2.3. Documents of enrolled students required by this Policy and Procedures and submitted to applicant's Personal account during the admission period are available to the Office of the Registrar in electronic format and used for formation of student's personal folder.

3.2.4. The number of admission cycles and all deadlines related to admission to the Program are set by the Dean of the School or his/her designated person upon consultation with the Admissions Department and are published on the website of the University.

3.2.5. All submitted documents shall be in English or with notarized English translation.

3.2.6. Providing false and/or incomplete information will result in exclusion from the admission or enrollment process.

3.2.7. The admission decision is not subject to appeal.

3.2.8. Applicants recommended for admission must provide scanned copies of documents indicated in Clause 3 of the Appendix to this Policy and Procedures as requested by the Admissions Department.

3.2.9. Applicants can apply only to a maximum of 2 (two) graduate level programs offered by the University in one academic year. In case of admission to both programs, the applicant must choose only 1 (one) program.

3.2.10. Submission of a complete application package does not guarantee admission to the Program.

3.3 Admissions Committee

3.3.1. The Admissions Committee is authorized to review applications, evaluate applicants and make recommendations with respect to admissions decisions.

3.3.2. The Admissions Committee members are responsible for ensuring that the admission procedures comply with this Policy and Procedures and the specific admission requirements of the Program.

3.3.3. Admissions Committee for the Program is composed of faculty members affiliated to the Program and at least one External expert or a representative of the Strategic Partner.



3.3.4. The total number of voting members of the Admissions Committee shall be odd, but not less than 5 (five) including at least 1 (one) member as an External expert or a representative of the Strategic Partner.

3.3.5. The activities of the Admissions Committee are managed by the Chairperson of the Admissions Committee (hereinafter – the Chair). Members of the Admissions Committee, including the Chair, shall be appointed by the decision of the Provost, or his/her designated person.

3.3.6. In addition to voting members, the Admissions Committee may include non-voting representatives.

3.3.7. The Secretary of the Admissions Committee shall be appointed by the decision of the Provost or his/her designated person. The Secretary is a non-voting member. In the absence of the Secretary of the Admission Committee, the Chairperson of the Admissions Committee or his/her designated person upon consultation with the Dean of the School appoints the replacement Secretary with indication of such replacement in the Admissions Committee meeting minutes.

3.3.8. The Secretary of the Admissions Committee is responsible for:

- 1) accuracy of information containing the Admissions Committee meeting Minutes;
- 2) coordination of activities of the Admissions Committee, including organization of the Admissions Committee meetings;
- 3) execution of the Minutes of the Admissions Committee meetings;
- 4) invitation of shortlisted applicants to the interview and maintaining interview evaluation results;
- 5) preparation of acceptance letters and rejection letters (notification letters on admission);
- 6) close cooperation and interaction with the Admissions Department on the admission issues;
- 7) authenticity of languages of the Minutes of the Admissions Committee meetings;
- 8) forwarding Minutes of the Admissions Committee meeting for registration and filing to the Admissions Department;
- 9) implementation of other activities in accordance with the instructions of the Admissions Committee and its Chair.

3.3.9. Each applicant for admission to the Program shall be evaluated individually, fairly, comprehensively, and consistently by the members of the Admissions Committee.

In this regard, the Admissions Committee members shall develop and adopt the most effective methodology/process/selection criteria which will identify applicants whose life experiences, personal attributes, past academic achievements, and career goals conform to those of the Program and who are most likely to contribute to, and benefit from the School's learning environment.

Methodology/process/selection criteria must be applied equitably during the selection processes and should be attached to the Minutes of the first meeting of Admissions Committee for the correspondent academic year.



3.4. Admissions Committee Meetings

3.4.1. Meetings of the Admissions Committee shall be held as needed during the admissions cycle with a quorum defined as the simple majority of the Admissions Committee voting members present.

3.4.2. The Admissions Committee may take votes and make decisions in the meeting through video or audio conferences or in other interactive ways of communication. Such participation shall be recognized in determining the quorum. The means of interactive participation of a voting member of the Admissions Committee shall be indicated in the Minutes of the meeting.

3.4.3. Decisions of the Admissions Committee shall be taken by simple majority of the votes of those voting and present. The Chair has the deciding vote in case of tied votes.

3.4.4. Decisions of the Admissions Committee are recorded in the Minutes of meeting(s) according to the specified requirements for preparing Minutes of meeting of the University. The working language of the Admissions Committee meetings is English. The Minutes of meeting in Kazakh and English shall be signed by the Chair and the Secretary of the Admissions Committee.

The Minutes shall be updated and include a ranking of all recommended applicants, who accepted the admission offer, deferred admission applicants, voluntarily or non-voluntarily rejected list of applicants and applicants' place on the waiting list.

3.4.5. The Minutes of the Admissions Committee meetings shall be confidential.

3.4.6. All Minutes of the Admissions Committee meetings are duly stitched, numbered, scanned and bound by the Secretary of the Admissions Committee, registered and stored in the Admissions Department, which is responsible for their safety until being transferred to the University Archive.

3.5 Admission Terms and Procedure

3.5.1. The selection process for admission to the Program within one Admission cycle consists of the following stages:

1) First Stage – the Admissions Department reviews application packages indicated in the Personal account and checks the compliance with the minimum entry requirements for the Program. The Admissions Department provides the Admissions Committee with information on applicants' status on compliance with the entry requirements and complete package of documents before an applicant can progress to the next stage of the selection process.

2) Second Stage – the members of the Admissions Committee review, evaluate, and shortlist complete application packages that meet admissions requirements according to the methodology developed by the Admissions Committee.

3) Third Stage – the Admissions Committee makes a recommendation for admission decision on all reviewed applicants. All shortlisted applicants are



interviewed either in person or via videoconference by the Admissions Committee. As necessary, the Admissions Committee assigns interviewers, who are appropriately qualified members of the School faculty, External expert or representative of the Strategic Partner. The number of designated interviewers shall not be less than 2 persons per interviewing the applicant.

3.5.2. Incomplete applications are progressed to the Second or Third stage only upon the Admissions Committee's request otherwise are declined by the Admissions Department.

3.5.3. After reviewing application materials and interview results the Admissions Committee recommends successful applicants for enrollment to the Program directly or on conditional basis.

3.5.4. Applicants recommended for admission and rejected applicants should be notified via electronic transmission by the Admissions Department within 10 (ten) working days of the Admissions Committee's decision.

3.5.5. The Admissions Committee may place on a waiting list the applicants who fully meet admission requirements, but who were not admitted to the Program due to limits in number of places open in the Program. Applicants in the waiting list will be ranked by the Admissions Committee. Should a place in the Program becomes available before the end of enrollment term of the Program, it will be offered to the applicants, in order of rank on the waiting list, by a notification letter of admission. Applicants from the waiting list can participate in an additional selection process to study on scholarships or sponsorship and fee-paying basis.

3.5.6. Upon receipt of the admission offer from the University, the applicants should notify the University of their acceptance or rejection decision in the format and during the period indicated in the notification letter.

3.5.7. In the event that an applicant recommended for admission does not accept the offer or does not reply within the stated time limits of the notification letter, the admission offer shall be sent to a next, most highly ranked applicant from the waiting list.

3.5.8. Enrollment of applicants shall be legalized by the decision of the Provost or his/her designated person.

Applicants may be enrolled conditionally based on evidence from graduating university the applicants have completed the educational program and the applicant expects formal issuance of final transcript and/or diploma by a certain date. In that case, the decision on enrollment shall prescribe the period of time, within which the applicants shall provide the necessary documents to the University Program.

3.5.9. The decision on enrollment shall specify the source of funding for each admitted applicant.

The sources of funding shall be determined as follows:

- 1) the state educational order;
- 2) a specific scholarship and/or sponsorship;
- 3) applicant's own expense – for self-funded applicants or applicants, whose costs will be covered by their employer.



Awarding applicants University grants, scholarship or sponsorship and enrollment on a fee-paying basis shall be carried out according to the procedure established by the internal documents of the University.

3.5.10. Applicants who have already earned a PhD degree under the Republic of Kazakhstan state fund are not eligible for enrollment under the state educational order to the University's PhD program with or without Zero Year of Graduate Programs.

3.5.11. Zero Year of Graduate Programs students are considered as students of the Programs to which they were conditionally enrolled. In order to change from conditional status, students must successfully complete Zero Year of Graduate Programs by passing all English and content courses in accordance with Academic Policies and Procedures for the Zero Year of Graduate Programs of the University.

If the Zero Year of Graduate Programs student fails to achieve the required passing grades and/or the attendance requirement, he/she shall be dismissed from the Program in accordance with the internal rules of the University.

Zero Year of Graduate Programs students are accepted with the expectation that they will continue to the University PhD degree program to which they applied. Students will not be allowed to change their program of study during Zero Year of Graduate Programs studies. Zero Year of Graduate Programs students who wish to study in the University's PhD program, which is different from the program for which they were accepted, may apply to another PhD program of the University and submit all the required documents. However, there is no guarantee of placement in their new PhD's application even if they are successful in Zero Year of Graduate Programs.

3.5.12. The number of enrolled students shall not exceed the number of places allocated to the Program.

3.5.13. Deferred admission for one year can be recommended by the Admissions Committee with the approval of the Dean of the School or his/her designated person. The awarding of grant or any financial support for deferred admission candidates is carried out in the framework of consideration of new pool of applicants on a competitive basis. Deferred admission allows a student to be enrolled to a Program following year based on previous year application but does not retain earned funding (if any).

3.5.14. All documents and other materials submitted by or for applicants in connection with their application for admission to the Program become the property of the University and are subject to the University's internal documents regulations and processes concerning confidentiality.

3.5.15. All information related to the selection process of applicants is confidential.

3.5.16. Issues not covered by this Policy and Procedures shall be resolved by the Admissions Committee independently.

Section 4. Waiver



4.1 The Provost of the University is eligible to waive any provision of this Policy and Procedures.

Section 5. Temporary Provision

5.1. Not applicable.

Section 6. Revision

6.1. This Policy and Procedures to the Programs shall be reviewed within one year after approval and completion of the admission cycle and revised if necessary.

Section 7. Related Documents

7.1. Law of the Republic of Kazakhstan “On the Status of Nazarbayev University, Nazarbayev Intellectual Schools and Nazarbayev Fund,” the Charter of the autonomous organization of education Nazarbayev University, and Rules for preparing some internal administrative documents on core activities and students contingent in the autonomous organization of education “Nazarbayev University”.



Appendix
to the Admission Policy and
Procedures to the School of Mining
and Geosciences PhD Programs at
the autonomous organization of
education «Nazarbayev University»

Admission requirements of the School of Mining and Geosciences PhD in Mining Engineering, PhD in Petroleum Engineering Programs

1. Applicants applying to the School of Mining and Geosciences PhD in Mining Engineering, PhD in Petroleum Engineering programs (hereinafter in this appendix – Program) are expected to have:

1) an undergraduate degree (Bachelor's degree or equivalent) and a master's (cycle-2) program in a relevant discipline.

During the application period, final year students may submit official current transcript for consideration.

Applicants who obtained their degree diplomas/certificates from foreign education institutions must request their official transcripts to be sent directly to the Admissions Department of the University. In exceptional cases that the foreign education institution does not provide such service, hard copy of the transcript can be submitted to the Admissions Department directly by the applicant or electronic copy of the transcript by digital credential services or by corporate email of the foreign education institution. When the applicants provide a diploma nostrification certificate issued by the Ministry of Education and Science of the Republic of Kazakhstan or an apostilled document by a foreign education institution, sending an official transcript directly to the University Admissions Department are not mandatory;

2) a minimum CGPA of 2.75 out of a 4.00 or equivalent on applicant's master's degree;

3) the required level of English proficiency indicated in Clause 2 of Appendix;

4) strong reading, analytical and mathematical skills as demonstrated by GRE or GMAT test (optional). Although an official GRE or GMAT score is not an essential requirement, an applicant can enhance her/his application with a competitive GRE or GMAT score;

5) high level of motivation and strong interest in the Program outlined in a statement of purpose for the PhD Program (up to 1 A4 page);

6) a curriculum vitae;

7) 2 (two) letters of recommendation.

2. The required level of English proficiency:

1) the absolute minimum requirement for English language proficiency test reports for admission to the Program is an overall IELTS test score of 6.5 with sub-score requirements no less than 6.0, or the equivalent TOEFL (except Home Edition) score as posted on the ETS website;

2) the absolute minimum requirement for English language proficiency test report for conditional admission to Zero Year of Graduate Programs is an overall



IELTS test score of 5.5, with no more than one sub-score of 5.0, or the equivalent TOEFL (except Home Edition) scores as posted on the ETS website.

3) applicants to the Program, at the discretion of the Admissions Committee, can be exempted from submitting the language proficiency test report if:

one of their earlier academic degrees was earned in a country with English as the language of official communication, academic instruction and daily life;

an undergraduate or graduate degree was earned in a program, which was officially taught in English. The applicants must provide an official document confirming English as the language of instruction;

the applicant is a graduate of the University.

3. Application package checklist for the Program:

1) complete Application form;

2) copy of national ID or passport;

3) notarized official document confirming name change (if applicable);

4) official degree diplomas/certificates with transcripts. Diplomas/certificates with transcripts received from Kazakhstani universities must be notarized. Applicants who obtained their degree diplomas/certificates from foreign educational institutions additionally refer to Sub-clause 1) of Clause 1 of the Appendix;

5) verified score report of valid Academic IELTS or TOEFL (except Home Edition) test certificate downloaded from the Test Administrator system and its scanned copy. The last IELTS/TOEFL certificate submitted to Personal account will be considered in admission competition. IELTS or TOEFL certificate valid (no more than 2 years) as of date of online documents submission. An applicant must indicate the University as a recipient when registering for the test. In case if the applicant passed the test earlier, he/she can contact the test center and indicate the University as a recipient;

6) document confirming English as the language of instruction (only for applicants, who earned their degree in a program, which was taught in English, and request an exemption from submitting IELTS or TOEFL);

7) verified score report of valid GMAT or GRE test certificate valid as of date of online documents submission and its scanned copy (optional). An applicant must indicate University as a recipient when registering for the test. In case the applicant passed the test earlier, he/she can contact the test center and indicate the University as a recipient;

8) curriculum vitae;

9) signed statement of purpose for graduate studies (up to 1 A4 page);

10) two letters of recommendation in English (or with notarized English translation) written within the last 12 months (to be provided by referees via University system or in scanned copy).

