

KHOCA AKHMET YASSAWI INTERNATIONAL KAZAKH-TURKISH UNIVERSITY

THE EURASIAN RESEARCH INSTITUTE PRINCIPLES AND PROCEDURES OF PROMOTION OF SCIENTIFIC PROJECTS

PART ONE

Purpose, Scope, Cause and Definitions

Purpose and Scope

CLAUSE 1. (1) The purpose of the principles and procedures is assessment, admission, support, execution, monitoring and evaluation of results and publication of research projects submitted to the Eurasian Research Institute by researchers from Kazakhstan and other countries, and also regulation of participation of national and/or international organizations and institutions to projects.

Cause

CLAUSE 2. (1) These principles and procedures are prepared on the basis of the clause 6(a), 6(c), 6(d) and 11(e) of the Regulations of the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University.

Definitions

CLAUSE 3. (1) Definitions:

- a) A&HCI: Arts & Humanities Citation Index,
- b) Researcher: a researcher, who is a manager or an executor of a research project, and who has his/her name on the final report and/or in the publication of the results of the project,
- c) Research project: a research project, which has no investment budget and has a capacity to contribute to the scientific and technological, economic, social and cultural development of the Eurasian region,
- d) Consultant: an expert from a university or another institution, temporarily providing counseling services for various sections of the project,
- e) Evaluation Commission: a commission that evaluates submitted drafts of projects. The Commission consists of at least 3 and at most 5 experts including the Director of the Institute or the deputy director who acts as a head of the Management Board, coordinators of the working group and representatives of the teaching staff whose publications are in high impact-factor media,
- f) DOI: digital object identifier
- g) Other staff: staff, that is not mentioned in the project, however, provides paid services for the project when necessary,
- h) Institute: The Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University,
- i) Director of the Institute: The Director of the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University,
- j) Secretary of the Institute: The Secretary of the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University,
- k) Chairman of the Board of Trustees: The Chairman of the Board of Trustees of the Khoca Akhmet Yassawi International Kazakh-Turkish University,
- l) Project secretary: a specialist who collects applications and projects, prepares agenda and report for the Evaluation Commission,
- m) Project Manager/Executor: a doctoral researcher who is responsible for preparation, presentation and implementation of the project,

- n) SCI-Expanded: Science Citation Index-Expanded
- o) SSCI: Social Sciences Citation Index
- p) University: The Khoca Akhmet Yassawi International Kazakh-Turkish University,
- q) Support staff: experts, engineers, technicians, laboratory assistants, workers and other personnel who temporarily work in different parts of the project under the supervision of the project manager, but whose names are not mentioned in a final report,
- r) Student assistants: master students who give support to the project for practical purposes,
- s) Management Board: The Management Board of the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University.

PART TWO

Duties, Authorities and Responsibilities

Project Secretary and His/Her Responsibilities

CLAUSE 4. (1) One of the specialists of the Institute or the Secretary of the Institute acts as a Project Secretary. His/her responsibilities are as follows:

- a) Collection of project proposals,
- b) Preparation of agenda for the Evaluation Commission meetings,
- c) Presentation of reports at the Evaluation Commission meetings,
- d) Carrying out procedures for sending the projects that are chosen as a result of evaluation process and approved by the Management Board to competitions organized by the Ministry of Education and Science of the Republic of Kazakhstan, and by various agencies and organizations,
- e) Collecting interim project reports submitted once every six months, and submitting these reports to the Evaluation Commission,
- f) Preparing annual announcements concerning conditions of project admissions,
- g) Managing entire paperwork related to the projects.

The Director of the Institute and His/Her Responsibilities

CLAUSE 5- (1) The responsibilities of the Director of the Institute are indicated below:

- a) Inviting the members of the Management Board to general meetings, heading the general meetings and monitoring the implementation process of decisions taken at the general meetings,
- b) Determining the superiorities and priorities in project preparations regarding the principles and procedures of project designing and the objectives of the parties,
- c) Proposing and organizing a cooperation process with foreign research centers in different countries,
- d) Building relations with educational institutions,
- e) Carrying out activities which aim to improve the research quality and increase the number of researchers,
- f) Determining the amount of funding required from the the Board of Trustees for implementation of research projects,
- g) Creating required conditions for an effective use of research infrastructure of the Institute,
- h) Providing support for sending the projects which are selected and approved by the Management Board to competitions organized by the Ministries of Turkey and Kazakhstan, various national and international institutions, companies, organizations and firms,
- i) Signing contracts about selected projects and ensuring the implementation of projects in accordance with the contract,
- j) Carrying out an inspection of a project in case of any illegal or unethical actions related

to the project, and suspending to fund such projects,

k) Submitting projects selected by the Management Board for the approval by the Board of Trustees.

The Evaluation Commission and Its Responsibilities

CLAUSE 6- (1) The Evaluation Commission is led by the Director of the Institute, and in his absence, by the Deputy Director.

(2) The members are appointed for one year. When a membership is expired, the member may be eligible for reappointment in accordance with existing regulations. When a full member resigns, his/her membership is terminated automatically. Members who do not fulfill their duties are removed by the Management Board.

(3) The Commission gathers with agenda with the invitation of the head of the Commission. If more than half of the commission members attend the meeting, the meeting can be held. Decisions are made according to the majority of votes with an open vote. In the event of equal votes, the final decision is made by the head of the Commission.

(4) The responsibilities of the Commission are as follows:

a) At the beginning of the academic year, preparing and publishing a document that defines the principles and the field of research considered in the evaluation of projects and announcing this document to researchers who will prepare a project proposal,

b) Preparing and announcing a calendar about the admission and evaluation of projects,

c) Evaluating the submitted projects considering the objectives of the Institute, and if necessary, sending the projects to experts for research and presenting the results to the Management Board,

d) Preparing a report about completed or ongoing projects to the Director of the Institute annually.

The Management Board and Its Responsibilities

CLAUSE 7- (1) The responsibilities of the Management Board are indicated below:

a) Approving projects selected by the Evaluation Commission or refusing these projects to be re-evaluated, requiring the decision of a consultant/s appointed by the Evaluation Commission,

b) Submitting and approving the final reports of the projects,

c) Evaluating the demands of project managers for additional time or funding and making the final decisions on these demands.

PART THREE

Scientific Project Proposals, Supporting Period and Publishing

Types of Projects

CLAUSE 8- (1) Types of scientific projects are indicated below:

a) Scientific Research Projects: These projects are evaluated in three categories:

a1) Publishing Projects: Conditions of this type of project are determined by the Board of Trustees and/or the Management Board. Results of the projects are expected to contribute to the development of research productivity and efficiency of the Institute, and also to the development of relations between Kazakhstan and Turkey, and the entire Eurasian region. The period of this type of this project can not to exceed 12 months.

a2) General Research Projects: Projects that significantly contribute to the development of research capacity of the Institute and to scientific development, and are expected to significantly increase the internationally accepted publications prepared by the Institute.

a3) Multi Participated Projects: Projects undertaken by the researchers of the Institute in cooperation with national or international institutions. The main goal is to stimulate participation in projects supported by international funds.

b) Postgraduate Supporting Projects: The purpose of these projects is to provide short-term support to graduate and doctoral students for their thesis at the Institute. This period should not be more than 9 months.

c) Culture and Art Projects: These projects are expected to contribute to national or world culture and art and to contribute to cultural, artistic, social and economic development of Turkey and Kazakhstan.

d) Research Fellowship Supporting Projects: Support of foreign researchers' projects conducted at the Institute for 1-12 months based on the "Principles and Procedures of Acceptance of Visiting Research Fellows by the Eurasian Research Institute of the Khoja Akhmet Yassawi International Kazakh-Turkish University."

Application

CLAUSE 9- (1) Project application is submitted in the form of "Application Form" (Appendix 1) directly by the project manager/executor. The application is submitted in two hard copies and on a CD.

Principles and Evaluation Period for Projects

CLAUSE 10-(1) The principles of evaluating and supporting the projects are indicated below:

a) The project should contribute to scientific, educational, economic, social and cultural development (depending on the characteristics of the project) of Kazakhstan, Turkey, Eurasia, or the world.

b) Priority is given to collaborative, interinstitutional, international and interdisciplinary projects in the fields of economics, finance, energy, international relations, security, transportation, technology, education, culture, art, language, religion, philosophy, sociology, political science, history, archeology and environmental protection.

(2) After the preparation of the application and the completion of forms and appendices, the projects are submitted to the Management Board. , further, the Evaluation Commission provides a preliminary assessment based on the above principles and selects the best projects that are sent to two referees appointed by the Director of the Institute out of four candidates proposed by the Evaluation Commission. The referees should re review the projects within a month, if necessary, this period can be extended up to 15 days.

(3) Received reports are evaluated by the Evaluation Commission, approved by the Director of the Institute and forwarded to the Management Board.

(4) The Management Board evaluates projects in terms of a possible contribution to the economic, social and cultural development of Kazakhstan, Turkey, the Eurasian region and the world, the development of the Kazakh-Turkish relations, publishing capabilities and usefulness to the Institute.

(5) The Management Board takes into account the scientific knowledge, skills, education, work experience and previously completed projects of the project manager and the project executors.

(6) Projects with sufficient qualifications that can not be supported because of inadequate supporting opportunities have an opportunity to participate in the subsequent selection period, if requested by the project manager.

(7) Decisions by the Management Board will be implemented immediately after the approval by the Board of Trustees.

The Contract

CLAUSE 11- (1) Once the project is selected according to the decision of the Management Board and the approval by the Board of Trustees, the contract is signed between the project manager/executor and the Director of the Institute (Appendix 2). When the project

manager/executor is replaced, a new contract is signed between the new project manager/executor and the Director of the Institute.

Project Monitoring Process

CLAUSE 12- (1) A part of the project is submitted to the Institute within a month. If this part is accepted, the project proceeds.

(2) Project monitoring is conducted by the project secretary and the Evaluation Commission. The Management Board is an authority that makes decisions concerning the issues arising in the course of project implementation.

Interim Reports

CLAUSE 13- (1) The project manager/executor is required to submit project interim reports to the Institute every 6 months. Reports are handed to the Evaluation Commission. The report indicates the executed work, obtained results, what is needed and what is planned to be done, information for publications and other scientific, technical, administrative and financial information. Reports are evaluated by the Evaluation Commission, and if necessary, the Commission gets the opinion of referees or consultants. The Commission runs the prepared reports past the Management Board. The Management Board may send the report for revision within a certain period of time to the project manager/executor. If an interim report is not submitted on time or refused, the project is rejected.

Changes in the Project

CLAUSE 14- (1) The Management Board has the right to make changes in the project, to require re-implementation of the project after consulting with the Evaluation Commission, to partially or completely abandon the project due to the decision of the consultant.

Requirement of An Additional Period

CLAUSE 15- (1) When it is necessary to extend the deadline of the project implementation or to obtain additional financing, a written application is submitted to the Evaluation Commission not later than 3 months prior to the end date of the project. The Commission forwards the application including the commission report to the Management Board with the Director of the Institute. The Management Board may extend the period by not more than one year and increase funding by not more than 50% after an approval of the Chairman of the Board of Trustees. However, it is not allowed to submit an application before the submission of the first interim report.

Temporary Suspension of The Project

CLAUSE 16- (1) If the project cannot be continued temporarily, with the application of the project manager/executor based on the conclusion of the Evaluation Commission and the consent of the Management Board, the project may be suspended. If the reasons for suspension is removed, with the application of the project manager/executor based on the conclusion of the Evaluation Commission and the consent of the Management Board, the project can be continued. The suspension period is added to the timeframe of the project.

Project Cancellation

CLAUSE 17- (1) When the project cannot be continued due to compulsory reasons or as a result of a deliberate fault the project manager and/or executor, with the request of the project manager/executor and/or the decision of the Evaluation Commission, the project is cancelled by the Management Board. The decision is conveyed to the project manager/executor with a written form by the Project Secretary.

(2) In the following circumstances, the project can be cancelled, changed with the approval of the project manager/executor, revised or totally cancelled by the Management Board:

- a) Absence of the expected results or discrepancy between the results and objectives of the project,
- b) Failure to submit two interim reports to the Evaluation Commission successively,
- c) Resignation of the project manager or of more than half of the project executors from their University,
- d) When the project costs and travel expenses are found to be noncompliant with the objectives of the project,
- e) When the project team is found to act against the scientific ethic,
- f) Resignation of the project manager without handing over the project to another academician approved by the Management Board.

Procedures Related to Project Cancellation

CLAUSE 18- (1) After the project cancellation the following procedures are conducted:

- a) After the cancellation devices, stock, equipment and instrumentation obtained for the project should be immediately handed over to the Institute. Otherwise, the Management Board may request a refund for the equipment along with the payments made to the project manager/executor taking into account legal interest and accrual.
- b) The project manager/executor whose project is cancelled cannot obtain a project support from the Institute in the following three years.

Final Report

CLAUSE 19- (1) At the end of the project period, the project manager/executor should send the final report including all scientific and technical developments and results of the project to the institute within at most two months.

(2) The final report is evaluated by the Evaluation Commission with participation of at least two referees. If necessary, the report can be sent back to the project manager/executor for completion and revision.

(3) The final report and the decision of the Evaluation Commission are revised at the meeting of the Management Board. After revision, the report is either accepted or rejected by the Management Board. The thesis accepted by their jury can be regarded as the final report.

Publication of the Project

CLAUSE 20- (1) Accepted reports are published in the print or electronic media according to the editorial principles of the Institute.

(2) In all publications, articles and reports regarding the project it is necessary to specify that the project was conducted with the support of the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University, and each copy should be sent to the Institute.

(3) All rights to the product/copyright concerning the project belong to the Institute.

(4) When obtained a national/international patent regarding the project, 50% percent of revenues of the patent are transferred to the Institute's budget and the other 50% percent is paid to the project manager/executor for 10 years.

(5) When created a work of art based on the project, 25% percent of revenues of a patent is transferred to the the Institute's budget and 75% percent is paid to the project manager/executor for 5 years.

Sanctions

CLAUSE 21- (1) Acts against the scientific or financial ethical principles during the implementation of the project or after the project:

- a) The project can be canceled due to the decision of the Management Board and procedures defined by the Kazakhstan legislation.

b) At the end of the project, the inventory and equipment used in the implementation of the project is accepted only if they are in good condition. In the event of deficiency/damage, the project manager/executor should pay for the broken/damaged inventory and equipment taking into account legal interest and accrual.

c) If a non ethical behavior of any of the team members is noticed, he/she cannot participate in any project for 5 years.

(2) If the final report of the project is not delivered on time, the whole project will be suspended until the report is submitted. If the report is not submitted within 15 days, after the submission of the report and by the decision of the Management Board, the project manager/executor cannot participate in any project for a year. If the final report is considered inadequate or inappropriate for the specified goals, the project manager/executor cannot participate in any project for three years. However, if the final report is considered to be inadequate/inappropriate, the project manager/executor can ask for additional time and the Management Board may agree to give additional time. However, if any the period has previously been expended, the total extended period should not exceed a year.

(3) If the researcher does not comply with the provisions for publication, he/she cannot participate in any project until he/she fulfills the specified conditions. In the published edition of the project conducted with the support of the Management Board, if it is not stated that “This work was supported by the Eurasian Research Institute of the Khoca Akhmet Yassawi International Kazakh-Turkish University. Project code:....”, or other similar expression, the researcher who published the work has no right to participate in any other project for a year.

(4) If one (or more) researcher withdraws from the project team for any reason, the project manager will be responsible for completing the project.

(5) If a second warning or sanction is applied to the project manager or one of the project executors, subsequently, that person cannot participate in the projects of the Institute.

PART FOUR

Financial Regulations

Appointment of Trustees and Officials Authorized for Expenses

CLAUSE 22- (1) The Project Secretary is an authorized person performing the financial procedures and being responsible for expenses. According to the proposal from the project manager, the Director of the Institute appoints one of the members of the project team as a trustee. All payments regarding the project are made by the accountant of the Institute or by the authorized person. Authorized persons are responsible for their activities to the Project Secretary.

Advance Payment

CLAUSE 23- (1) With the approval of the Project Secretary, the accounting department of the Institute can allocate up to 25% percent of the project budget to the authorized persons as an advance. The authorized person should provide all documents related to the acquisition of equipment and materials within one month after the purchase to the accounting department of the Institute.

(2) After completing the project or at the end of the fiscal year (if the project is still in progress), the authorized person is obliged to repay the advance, to submit all documents regarding the amounts which have not been entered into account and to return the remaining amount to finalize the entering into account process. Not following these procedures will cause the next advance for the same project not to be implemented.

(3) After completing the project, the cost derived from the project is paid by the accounting department of the Institute. The final payment is made after the delivery of the project and the evaluation of the project by the referees.

Appointment

CLAUSE 24- (1) All types of appointments (national/international) for the project are made according to the Institute Regulations.

The Registration Procedure for the Machinery and Equipment Supplied for The Project

CLAUSE 25- (1) All machinery and equipment purchased for the implementation of the project is recorded in the accounting department of the Institute and is under the responsibility of the project manager/executor until its completion. The project manager/executor is solely responsible for the use, protection and repair of the acquired machinery and equipment.

The Registration Procedure for the Books Purchased for the Project

CLAUSE 26- (1) In projects for which specific books are needed to purchase, these books are considered to be a project material and they should not be at the Institute library. These books are recorded as an inventory in the Institute library at the level of purchase.

Conservation of Expenditure Documents

CLAUSE 27- (1) Documentation of the project expenses is recorded according to the Kazakhstan legislation. All documents regarding the procedures and the project expenses are conserved in the related departments of the Institute, and should always be ready for submission in auditing process.

PART FIVE Final Provisions

Situations Not Stated in This Document

CLAUSE 28- (1) For the issues not defined in the framework of this document, the Statutes and the Regulations of the University is applied. For the issues not defined in the Statutes and the Regulations of the University, the Kazakhstan legislation is applied.

Enforcement

CLAUSE 29 (1) These principles and procedures are enforced after they are approved by the Management Board of the Institute.

Implementation

CLAUSE 30 (1) An implementation of these principles and procedures is carried out by the Director of the Eurasian Research Institute.