



YESSENOV
UNIVERSITY

APPROVED
decisions
of the Research Council
Protocol № 5 dated
31/03/2021

POSITION
ACCORDING TO THE GRANT COMPETITION FOR THE IMPLEMENTATION OF
PROJECTS
«SMALL GRANTS PROJECTS»

AKTAU 2021

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1. OBJECTIVES AND SCOPE OF APPLICATION

Regulations on the competition for grants for the implementation of SMALL GRANTS projects (hereinafter referred to as the Rules) is intended to support projects in each specialty in cooperation with foreign partner universities aimed at importing and exporting educational services and based on a high priority of regional development.

These rules are the organizational and administrative documentation of the NAO "Caspian University of Technology and Engineering named after Sh. Yesenova" and comply with the requirements of the following legislative acts of the Republic of Kazakhstan:

- The Law of the Republic of Kazakhstan "On Education" (as amended on 07.07.2020);
- The Law of the Republic of Kazakhstan "On Innovation Activity" (12/20/2004);
- The Law of the Republic of Kazakhstan "On Science" (with amendments and additions from 28.10.2019)
- The State Program for the Development of Education and Science of the Republic of Kazakhstan for 2020-2025 (09.12.2020)
- The Charter of the NAO "Caspian University of Technology and Engineering named after Sh. Yesenov"(approved by the order of the Chairman of the State Property and Privatization Committee Ministry of Finance of the Republic of Kazakhstan dated 06/04/2020 No. 11933-1943).

2. ABBREVIATIONS AND DEFINITIONS

YESENOV UNIVERSITY	- NAO "Caspian University of Technology and Engineering named after Sh. Yesenova"
RK	- The Republic of Kazakhstan
UNIVERSITY	- Higher education institution
PHD	- Doctor of Philosophy
TS	- Teaching staff

The Competition commission - is an approved expert group consisting of representatives University consisting of at least 5 (five) people involved in the evaluation and selection of Applications and the project plan of the participants of the Competition in order to select the grantee of the Fund; The Commission consists of members of the scientific council and may involve other scientists in the specialty.

The secretary of the competition commission - is a representative of the organizers of the competition, the secretary of the Research Council. He collects applications and regulates the work of the members of the competition commission, as well as fills out the final protocols for the selection of applications and projects of the participants of the competition.

The project - is a scientific work based on the priorities of strengthening partnership in each specialty or in the development plan of the region.

Grant – funds provided for the implementation of the project.

The grantee - is a candidate who has passed all stages of the Competition and received a grant in accordance with the decision of the Competition Commission.

An application - is a set of documents submitted by a candidate for participation in the competition in accordance with the procedure established by these rules.

A candidate - is a group of faculty/staff or faculty/working at a university who apply for a competition and work together to implement any funded idea by submitting a project plan.

3. GENERAL PROVISIONS

3.1 These rules define the procedure for organizing and conducting the "SMALL GRANTS PROJECTS" project competition, the procedure for issuing grants and supervision of projects that have received a grant.

3.2 The purpose of the project is to support projects in each specialty in cooperation with foreign partner universities aimed at importing and exporting educational services and based on priority areas in the development plan of the region.

3.3 Project objectives:

- implementation of projects to strengthen partnerships in each specialty;
- implementation of projects in priority areas in the development plan of the region.

3.4 Stages of the competition:

- 1) application deadline (from September 1 to October 30 of each academic year);
- 2) Selection period (from October 30th);
- 3) the final stage (the decision will be made before December 20).

3.5 Grant amount: from 500,000 tenge to 3,000,000 tenge, depending on the expected results of the project.

3.6 Project implementation period: 1 year from the date of signing the contract.

3.7 Grounds for termination of the Agreement or termination of the next grant:

- Provision by the Grantee of false information of any kind;
- Misuse of allocated funds;
- Late submission of reports;
- Refusal to provide the necessary information or documents requested by the monitoring group for the implementation of the project.

3.8 This Regulation comes into force from the date of its approval and remains in force until another Regulation is adopted.

4. THE ORDER OF THE COMPETITION

4.1 The application for participation in the competition (agreed with the International Department for the Development of External Relations) must be submitted by the project manager or project executors to the Department of Science before the deadline for submitting applications (Appendix 1). The application form is posted on the information resources of the university.

4.2 If necessary, the competition commission requests additional information from the applicant on the competition.

4.3 By submitting an application for participation in the competition, the project participants agree to use their personal data (full name, educational institution, phone, e-mail, address) to conduct the competition and register at Yesenov University in accordance with the requirements of the legislation of the Republic of Kazakhstan.

4.4 Acceptance of applications at the selection stage is considered at a meeting of the Scientific and Technical Council within 30 working days.

4.5 At the selection stage, candidates prepare a presentation of their projects. The presentation should be in PowerPoint format (no more than 10 slides) and contain the following information:

- the name of the project;
- the importance of the project;
- system analysis in the chosen direction;
- action plan;
- the need and amount of financing;
- payback period / profitability;
- prospects for commercialization.

4.6 Candidates who received a positive assessment at the NTS meeting for participation in the final stage will be protected by a report on the results of presentations prepared according to the project (no more than 30 minutes per report).

4.7 A specially formed competition commission for the protection of candidates selects grantees.

4.8 The decision of the Competition Commission on the selection of candidate projects is recorded in the minutes by the secretary of the Competition Commission.

4.9 The list of grantees based on the results of the competition is announced within 2 working days after the decision of the competition commission.

5. CONDITIONS OF PARTICIPATION IN THE COMPETITION

5.1 Teaching staff/The University staff, who is a citizen of the Republic of Kazakhstan, has the right to participate in the competition as a project team. The project team is considered as one participant in the competition.

5.2 The project supervisor must meet the following qualification requirements:

- Academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy, Doctor of Profile);

- The research area of the project manager and (or) the experience of his research and (or) scientific and pedagogical work corresponds to the direction of the research project.

- At least 1 (one) publication of the project manager for the last 5 (five) years, indexed in the international databases Web of Science and (or) Scopus, reviewed in foreign scientific publications with a non-zero impact factor and submitted journals, the Committee for Quality Assurance in the field of Education and Science of the Ministry of Education and Science of the Republic of Kazakhstan must have at least 3 (three) publications.

5.3 The applicant can familiarize himself with the terms of the competition on the university's website.

5.4 The competition application (Appendix 1) for the development of international relations must be submitted by the project manager or project executors to the Department of Science and Research before the end of the application period agreed with the international office.

5.5 By submitting an application for participation in the competition, the project participants agree to use their personal data (full name, educational institution, phone, e-mail, address) for the competition and accounting of the university in accordance with the requirements of the legislation of the Republic of Kazakhstan.

5.6 In case of extension of the competition or other changes, the competition commission publishes additional information or new conditions. 5.5 In case of extension of the competition or other changes, the competition commission publishes additional information or new conditions.

5.7 The applicant's participation in the competition is free of charge.

5.8 The grantee is determined by the decision of the Competition Commission.

5.9 When carrying out research projects, scientific results are considered to be:

- scientific publications, textbooks, monographs, author's documents (patents, author's certificates, etc.), Reports at international conferences, commercialization of results.

- approved curriculum, implemented technology, working curricula, roadmaps, certificate of registration of teaching methods, etc.

5.10 Grant funds are valid for a calendar year until December 31.

5.11 Grant funds are used by the owner for research, including salaries of the supervisor, performers and student scholarships, travel expenses, payment of organizational fees for participation in scientific and technical activities (conferences, seminars, etc.), for registration of research results (security documents), materials, reagents, equipment, etc.

5.12 When publishing full-text articles of grantees in scientific publications, it should be noted that this study was conducted within the framework of a project funded by the Yesenov University.

5.13 The executors may not submit the same report more than once at different conferences during the implementation of the project.

6. THE PROCEDURE FOR THE WORK OF THE COMPETITION COMMISSION

6.1 The members of the Competition Commission must consist of at least 7 (seven) teachers/staff under the chairmanship of the President-Rector of Yessenov University or the Vice-President for Research and Development and are approved by a special order. The President-Rector may replace members of the Research Council with members of the Competition Commission.

6.2 The Competition Commission is obliged to comply with the requirements and rules of the competition set out in this Regulation.

6.3 The Competition Commission is obliged to make a fair decision on the selection of candidates in accordance with the following criteria of the competition:

- the importance of the project;
- system analysis in the chosen direction;
- the plan of the stages of the project implementation;
- prospects for commercialization;
- the need and amount of financing;
- payback period and profitability.

6.4 The Competition Commission makes a decision on the project under consideration by an open vote. If the votes of the members of the Commission are equal or in disputed cases, the vote of the Chairman of the Competition Commission is decisive.

6.5 Based on the results of the meeting of the Competition Commission, the Secretary draws up a protocol indicating the average rating of the competition project, signed by all members of the Competition Commission, which is calculated based on the scores of all members of the Commission for each evaluation criterion.

7. THE PROCEDURE FOR CONCLUDING THE CONTRACT

7.1 Based on the decision of the Competition Commission, the University prepares and concludes an agreement with the grantee within 5 working days from the date of the decision.

7.2 In accordance with the principles of the Competition Commission, the contract preparation period may be extended if the grantee needs to update the project stages, implementation mechanism and/or cost estimates. However, the total term for concluding an agreement between the university and the grantee should not exceed 10 working days from the date of the decision by the Competition Commission.

8. MONITORING

8.1 The University monitors the grant recipient's project by compiling reports and analyzing relevant documents, monitoring the implementation of the project, participating in project activities, advising on the implementation of the project and using other methods.

8.2 The University has the right to visit the monitoring site of the project.

8.3 In case of misuse of grant funds by the grantee, the University sends a request to the grantee for a refund of the amount improperly used in accordance with the terms of the agreement.

9. REPORTING PROCEDURE

9.1 The Project Manager is obliged to submit annual summary reports on the results obtained during the reporting period at a meeting of the Control Commission appointed to monitor the study.

9.2 The Control Commission has the right to decide on the termination of financing in the following cases:

- the inability of teachers/staff to perform their duties in a timely manner without a valid reason;

- unjustified spending of funds allocated for research;

9.3 Upon completion of the grant, the head of the research project submits a final report to the Department of Science and Research with the following documents:

A report in accordance with the approved rules (Appendix 2);

- An extract from the decision of the Control Commission on the implementation of the project;

- Documents confirming the publication of articles (articles in journals recommended by the Control Committee in the field of Education and Science, and/or journals indexed in the Web of Science or Scopus database, etc.).

9.4 In case of non-fulfillment of tasks in accordance with the research schedule, the results are published in the form of full-text articles and annotations in journals recommended by the Committee for Quality Assurance in Education and Science and/or journals indexed in the Web of Science or the Scopus Database, teaching staff/employees are not allowed to participate in grant competitions for the next 5 years.

APPLICATION

1. General information

- 1.1 *The name of the project topic.*
- 1.2 *The expected start and completion date of the project.*
- 1.3 *The total amount of the requested grant financing (for the entire period and years of the project, in thousands of tenge).*

2. Description of the project

2.1 Introduction [should not exceed 100 words]

This section shows the main participants of the project (the scientific director of the project), the direction of their scientific interests, a brief description of the project idea (its problems and solutions).

2.2 The purpose of the project [should not exceed 100 words]

The project objective should be concise and clear, consistent with the project theme (project objectives should be able to reflect the nature of the decision made as a result of the project).

2.3 Project objectives [should not exceed 500 words].

This section describes the goal of the project and how to achieve it, methods of achieving the goals of the project, tasks and expected results with a brief explanation of their implementation (measurable indicators of problem solving; a brief justification of the role of each task in achieving the project. Objectives and other objectives of the project and expected results; according to the applicant, with other important parameters).

2.4 The significance and scientific novelty of the project [no more than 2000 words].

The section contains the following information:

1) the prerequisites for the preparation of the project, the justification of the scientific novelty of the research on the topic of research in the world (and in the Republic of Kazakhstan) and the relationship with this project (mandatory reference to the literature used in the text, their meaning should be fully disclosed in section 8 "Bibliography"). Preliminary results, if any;

2) the significance of the project at the national and international levels (its results can be used for the development of relevant fields of economics, science and (or) public relations);

3) scientific and technological needs (including social demand and, if necessary, economic and industrial interest), including trends in relevant fields of education, in order to justify the importance and necessity of the claimed research (for research programs);

4) the impact of the results on the development of science and technology and the expected socio-economic effect (the level of research, scientific and technical potential, competitiveness of scientific organizations and their employees; the conditions necessary to achieve the expected result).

5) an indication of the interdisciplinary features of the study (if any).

When describing this section, the following principles should be taken into account:

1) It is necessary to describe the fundamental differences between the project idea and existing analogues;

2) if the idea or the result of the research does not exist in Kazakhstan, but exists in the world, it is necessary to justify why the Project should be funded;

3) if the result of the project is a product, it is necessary to fix the level of existing equipment, providing information about the successes of domestic and foreign manufacturers in the subject area of the project;

4) for scientific and technical projects, it is necessary to specify the leading groups in the field of research and design of competitive and/or alternative technologies that are the basis of the project.

5) if the project is a continuation of previously conducted research, the applicant must clearly and briefly describe the relationship of the project with previous research and its differences from them.

3. Research methods and ethical issues [should not exceed 1,500 words]

The section contains the following information:

1) a description of the scientific approach used in the project as the basis for the chosen methods of achieving the goal (the types of research used in the project are descriptive, correlative and/or experimental. The order of the study);

2) critical points, alternative ways of implementing the project (their advantages and disadvantages compared to those presented in the application).

3) The project must ensure compliance with the principles of scientific ethics, i.e. ethical management procedures, including compliance with high standards of intellectual integrity and prevent falsification of scientific data, plagiarism, duplication of scientific data, use of results and conclusions obtained without the consent of other participants in the collective research;

4) description of the mechanism and detailed procedure of research involving humans and animals, compliance of the planned research with the legislation (and ethical standards) of the Republic of Kazakhstan;

5) conditions for the allocation and registration of intellectual property rights to the results of the study (it is necessary to indicate which method of intellectual property protection is chosen, to justify the choice).

4. Project planning and management [should not exceed 1,500 words]

The section contains the following information:

1) description of the composition of the research team, their position, qualifications and areas of work on the project;

2) project stages, tasks, their validity, work schedule (tasks * time (by month)).

Example of a calendar plan

№	Tasks, names of activities for the implementation of the project goals	Sold a residence (for a month)	Start date (day/month)	Months of project implementation, expected results of project implementation (tasks and activities)		
				1-4 months 2021	5-8 months of 2021	9-12 months of 2021
1	Task name			Expected results		
1.1	Name of the event			Expected results		
1.2	Name of the event			Expected results		
2	Name of the event				Expected results	
2.1	Name of the event				Expected results	
2.2	Name of the event				Expected results	
3	Name of the event					Expected results
3.1	Name of the event					Expected results
3.2	Name of the event					Expected results

Note * - holidays are not specified in the calendar plan

5. Research group [should not exceed 1000 words]

The section contains the following information about the supervisor and the main executors (co-executors):

- 1) summary and scientific work (a summary of the researcher is given and describes how the claimed research correlates with previous research);
- 2) information about the main publications of the supervisor on the project topic; information about available patents;
- 3) the main publications of the research group on the project topic (up to ten), patents, copyright certificates;

6. Research environment [should not exceed 500 words]

The section contains the following information:

- 1) a description of the existing material and technical base necessary for research (equipment, tools, inventory, vehicles, buildings, structures, etc.), equipment used directly for the project, indicating the direction of its use and members of the research group who have skills working with research equipment (equipment, tools, inventory, transport, buildings, structures, etc.)
- 2) the main domestic and international relations, the participation of foreign scientists in the project (with a summary, the main scientific publications and achievements in the field corresponding to the direction of the project, and their role in achieving the goals, objectives and expected results of the project);
- 3) justification of mobility: the stages of work and the impact of participation in other places for the implementation of the project (research trips and their impact on the implementation

of the project, the stages of work based on partner organizations and their impact on the implementation of the project and contribution to the achievement of the goal are indicated briefly);

7. Expected results [should not exceed 250 words]

The section contains the following information:

- 1) publication in foreign peer-reviewed scientific journals (forecasting the publication of research results conducted within the framework of the project); planning the publication of books/chapters in foreign publications;
- 2) planning the publication of a book/book section in Kazakhstani publishing houses; planning to publish it as a monograph;
- 3) assessment of the patentability of planned results (European, American, Japanese), other security documents from a foreign patent office; planned results, patentability (in Kazakhstan or Eurasian Patent Office), the possibility of obtaining other security documents that are the result of a license agreement for a form of intellectual property;
- 4) applicability and/or commercialization of the scientific results obtained;
- 5) target consumers of the obtained scientific results, including by thematic composition;
- 6) dissemination of the results of the work among potential users, the scientific community and society.

8. Bibliography

Publications in the section, links in the section "Project description", "Scientific novelty and significance of the project" are indicated in paragraph 2.

Each publication includes the full name of the journal, issue number, year of publication, page, full title of the article, and the names of all the authors of the article.

RESEARCH PROJECT REPORT

1. Title page ("Research Report" according to GOST 7.32-2001).
2. List of performers and their signatures.
3. Summary (keywords, summary (goals, objectives, materials and methods, results))
4. Content
5. Introduction.

The introduction should contain the current state of the problem, the basis and initial data for the development of the topic, and the justification for the need for research. The literature review should indicate the relevance and novelty of the topic, the relationship of this work with other scientific works.

The main part.

Must have a report on the conducted creative or experimental research;

Summarize and evaluate the results of the study, including an assessment of the completeness of the tasks and recommendations for further work.

6. Conclusion.

This section should contain a conclusion on the results of the study.

7. List of references (the report should contain references).
8. List of publications on the project.
9. Appendices.