



APPROVED  
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REGULATIONS ON CERTIFICATION OF THE PROFESSORIAL TEACHING STAFF  
AND EMPLOYEES OF SHYMKENT UNIVERSITY

SHYMKENT UNIVERSITY QUALITY MANAGEMENT SYSTEM  
PROVISIONS of the UNIVERSITY 01 – 04 - 2023

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## 1. APPLICATION AREA

1.1 The Regulations on the certification of the teaching staff and staff of Shymkent University - defines the procedure and conditions for the certification of the teaching staff and staff.

1.2 The Regulation is a normative document that forms the academic policy of Shymkent University and the internal quality assurance system, all structural units are required to comply with the requirements of the Regulation.

## 2. REFERENCE DOCUMENTS

2.1 The Law of the Republic of Kazakhstan "On Education" dated October 24, 2011 No. 487- VI (with amendments and additions as of 10.07.2023 No. 19-VIII).

2.2 Order of the Minister of Science and Higher Education of the Republic of Kazakhstan dated December 30, 2022 No. 533 of the conduct and conditions of certification of civil servants in the field of education and science,

2.3 The Charter of the University.

2.4 Academic policy of the University.

## 3. NAMES, DEFINITIONS AND ABBREVIATIONS

RK- The Republic of Kazakhstan

SHU- Shymkent University

Teaching staff

## 4. DESCRIPTION OF THE PROCEDURE

4.1 Certification is a form of comprehensive assessment of an employee, on the basis of which a decision is made on his compliance / non-compliance with his position.

- 4.2 The main goals and objectives of the certification of teaching staff;
- identification of the level of compliance of the employee's competence with the qualification requirements for the establishment and confirmation of the relevant position;
  - quality assurance of teaching staff and employees;
  - optimizing the use of frames;
  - stimulating the growth of employees' qualifications;
  - formation of a personnel reserve;
  - identification of the possibility of staff rotation;
  - stimulation of continuing education of teaching staff and employees;


4.3 Basic principles of certification of teaching staff:

- frequency;
- openness;
- collegiality;
- objectivity.

4.4 Certification of teaching staff and employees is carried out on the basis of studying analytical materials on the activities of the certified person for the reporting period, the results of the certified person's participation in the activities of departments, faculties and structural divisions.

The criteria for evaluating the activities of teaching staff and employees during certification are:

- 1) Academic work:
  - the quality of lectures, practical and laboratory classes (according to the questionnaire of students) ;
  - the objectivity of the assessment of students' knowledge.
- 2) Educational and methodical work:
  - publication of textbooks and teaching aids;

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- development of the Educational and methodological complex of the discipline;
- development of methodological guidelines for laboratory and practical classes;
- participation in the development of educational programs.

3) Scientific work

- participation in the implementation of grant or contractual research;
- publication in journals with a non-zero impact factor;
- publication of articles in domestic and foreign journals;
- publication of scientific papers in International conferences;
- publications in Republican scientific conferences;
- obtaining patents and copyright certificates.

4) Educational work among students:

- curatorial work in a group (journal of curatorial work);
- participation in the organization of educational events (reports, debates, cultural events).

5) Work to improve professional skills:

- completion of advanced training courses (certificates);
- conducting open lectures;
- inspection reports on intra-university quality control of classes;

6) Compliance with the teacher's code of honor;

- violation of labor discipline;
- relationships in the team;

7) Personal qualities of the teacher:

- communication skills;
- ethical and aesthetic standards of behavior;

## **5. Those to be certified and the terms of attestation**

5.1 Certification is subject to all full-time employees of the SHU from the teaching staff, with the exception of pregnant women.

5.2 Teaching staff and employees are certified after each subsequent 5 years of work in the position, While certification must be carried out no later than six months from the date of the specified period.

5.3 The first attestation is carried out no earlier than six months from the date of taking up this position.

5.4 Teachers who have been accepted for the first time to the positions of the teaching staff or accepted to the positions of the teaching staff after completing a master's degree or PhD, are certified after 1 year of work in the position.


5.5 Those on parental leave are certified no earlier than six months after they start working.

5.6 In connection with organizational and staff activities at the university, changes in the regulatory framework governing the activities of the structural unit, on the initiative of the employee, the immediate supervisor of the employee or the university administration, on the basis of the rector's order, an extraordinary certification of employees may be conducted.

## **6. Certification Commission**

6.1 To certify the teaching staff and employees, a university certification commission (hereinafter referred to as the commission) is created. The personal composition of the certification commission is approved by order of the rector of the university.

6.2 The number of members of the commission is an odd number, at least five people. The Chairman, the Vice-Chairman and the Secretary are appointed from among the members.

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6.3 The Chairman of the Attestation Commission (one of the vice-rectors of the University) directs its activities, chairs its meetings, plans its work, exercises general control and is responsible for its activities and decisions.

6.4 Replacement of absent members of the attestation commission is not allowed.

6.5 The commission includes the heads of various departments, including the Human resources and Legal services department of the University, a representative of trade unions, as well as other employees.

6.6 The secretary of the attestation commission of the University is a representative of the personnel department, which is determined by the head of the personnel department. The secretary of the attestation commission prepares the relevant materials and necessary documents for the meeting of the commission, draws up a protocol after it is held, carries out maintenance and ensures operation and is not entitled to participate in voting.

6.7 The secretary of the attestation commission forms a list of attested persons for the current academic year with an indication of the deadlines for submitting attestation materials, submits a draft order for approval of the formed lists to the rector, brings the order to the attention of the attested employees no later than one month before the date of attestation and informs the members of the attestation commission and attested persons about the day of the meeting of the attestation commission, accepts attestation materials, draws up the minutes of the meetings of the attestation commission and the attestation sheets.

6.8 The members of the commission are certified on a general basis.

6.9 The certified employee, who is a member of the commission, does not participate in voting when considering his candidacy.

## **7. Organization of preparation for certification**

7.1 Preparation for the certification of teaching staff and employees is organized by the Personnel Management Department on behalf of the Rector and includes the following activities;

- - preparation of a list of teaching staff to be certified;
- development of certification schedules;
- determination of the composition of the attestation commission;
- preparation of the necessary documents for the certified.

7.2 The HR Department determines the list of teaching staff and employees subject to certification once within six months.

7.3 The Rector of the University, on the recommendation of the Department of Personnel Management, issues an order approving the list of certified persons, the schedule of certification and the composition of the certification commission.


7.4 The Personnel Management Department notifies employees about the timing of the certification no later than one month before the start of its implementation.

7.5 The immediate supervisor of the employee subject to certification draws up a service record and sends it to the personnel department.

7.6 The service record contains a reasonable assessment of the professional, personal qualities and performance results of the attested person.

7.7 The attested person reports at the meeting of the department on the work done during the reporting period on all types of educational, methodical, scientific research, educational and other types of work. The analysis of the conducted open classes of the attested person is made and the motivated conclusion of the department is approved by open vote (Appendix A).

In this case, the attested period is the period of work from the previous attestation to the current attestation, or the period of work from the moment of employment in this position to the current attestation, if the employee is certified in this position for the first time.

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The reasoned conclusion is accompanied by a list of scientific and educational materials, inventions, projects, patents, etc., for the period under review, approved by the academic secretary of the university, as well as an individual work plan of the teacher and other materials for the period under review.

7.8 If the head of the department passes the certification, then the dean of the faculty leads the meeting of the department.

7.9 Information about the activities of the head of the department, namely as the head of the department, should be presented in the service record (Appendix B). At the same time, it is necessary to analyze the fulfillment of the list of personal duties of the head of the department, who has in the Job description or in the Qualification characteristics of the positions of teaching assistants and staff of the SHU, approved by the decision of the Scientific Council.

Thus, to analyze the professional activities of the head of the department, the following documents are submitted to the certification committee;

- a reasoned conclusion of the department,
- an official characteristic, which is approved by the dean of the faculty and the vice-rector, who is the chairman of the attestation commission. In order to compare the results of the activities of the Department of Management of Strategic Development of the University, b presents certified summary statements of the rating of departments of the University over the past three years.

7.10 No later than two weeks before the day of the attestation, the attested person must be familiarized with the motivated conclusion by the department under the signature. During this time, the attested person has the right to submit to the attestation commission a statement (with appropriate justification) of his disagreement with the reasoned conclusion of the department submitted to him or information characterizing his labor activity during the reporting period, and in the case of primary attestation - from the date of admission to work.

7.11 No later than 10 days before the attestation, the reasoned conclusion of the department is sent accordingly to the attestation commission of the University.

7.12 For the certified employee, the department draws up a certificate sheet, according to Appendix B.

## **8. Conducting attestation**

8.1 Certification is conducted in the form of an interview.


8.2 In the event of the failure of the person being certified to appear at the commission meeting for a valid reason, the consideration of the issue of his certification is postponed to no later than the date specified by the commission.

8.3 A valid reason is:

- temporary disability;
- being on maternity leave;
- being on a business trip, training (internship) in a specialty outside the Republic of Kazakhstan.

8.4 In case of absence of the attested person for a disrespectful reason, re-attestation is appointed. In case of repeated failure to appear for a disrespectful reason, the employee is considered not certified.

8.5 During the meeting, the commission examines the submitted materials (characteristics, motivated conclusions of the departments, the results of attestation for previous years, the attestation sheet of the attested person with the data of the previous attestation, etc.), conducts interviews with the employee. The questions asked to the certified person should be aimed at identifying the level of his competence, professional training, and business qualities. The discussion of the professional,

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business and personal qualities of the certified person should take place in an atmosphere of objectivity, correctness and goodwill.

8.6 Based on the results of studying the submitted materials and interviewing the employee, the commission makes one of the following decisions:

- 1) corresponds to the position held;
- 2) subject to re-certification;
- 3) does not correspond to the position held;

8.7 Based on the results of the certification of teaching staff, the certification commission may make recommendations on improving the professional activity of an employee, on improving qualifications or obtaining appropriate education for the certified, on promotion or demotion or transfer of the certified to a position in accordance with the Standard Qualification Characteristics of the positions of teaching staff, salary allowances for a certain period.

8.8 The decision of the attestation commission is adopted by open voting by a simple majority of votes. If the votes are equally divided, the Chairman's vote is decisive. An employee undergoing certification, who is a member of the certification commission, does not participate in voting regarding himself.

8.9 The re-certification is carried out six months after the date of the initial certification in the manner prescribed by this regulation.

The attestation Commission, after re-attestation, makes one of the following decisions:

- 1) corresponds to the position held;
- 2) does not correspond to the position held;

8.10 A meeting of the commission is considered competent if at least two thirds of its members took part in it.

8.11 The decision is made out in a protocol and a corresponding entry in the certification sheet. The protocol and the attestation sheet are signed by the chairman, the secretary and the members of the attestation commission who participated in the voting.

8.12 The results of the certification are communicated orally to the employee immediately after the vote is summed up, and the employee must be acquainted with the certification sheet under signature within one month from the date of certification.

8.13 The materials of employee certification (minutes of the meetings of the attestation commission, attestation sheets) are transmitted to the rector no later than five working days after its completion for decision-making in accordance with the Labor Code of the Republic of Kazakhstan.

8.14 The rector's decision is made by order.

8.15 The decision of the attestation commission approved by the rector on the inconsistency of the position is the basis for termination of the employment contract.


8.16 The attestation sheet of the employee who has passed the attestation and the motivated conclusion of the department on it are stored in the personal file.

8.17 The employee has the right to appeal the results of the certification in accordance with the legislation of the Republic of Kazakhstan.

## **9. Methods of attestation of the teaching staff and staff by the attestation commission of the University**

9.1 An employee who meets the following three conditions is considered to be certified in the appropriate position in the department:

- 1) compliance of the certified person with the requirements of the Standard Qualification characteristics of the positions of teaching staff and employees of persons equated to them;

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2) compliance with basic education (or academic degree, or academic title) certified by the profile of the department and the disciplines taught;

3) compliance with the Criteria for evaluating the activities of the teaching staff.

9.2 A teacher who has not fulfilled at least one of the three conditions of paragraph 9.1 and has not provided information on the implementation of an individual work plan for calculating the assessment is recognized as not certified.

9.3 The following conditions are also taken into account during the certification:

- active participation in educational, career guidance and social work
- (documented);
- - professional development;
- completion of unscheduled work;
- other conditions established by the certification commissions.

9.4 To identify the negative aspects of teachers' activities, questionnaires on the ethics of student-teacher relationships can be used.

Form of the department's reasoned conclusion  
Reasoned conclusion

departments \_\_\_\_\_  
(name of the department)

on the educational, methodological, research and educational work of a candidate of (specify which) sciences, associate professor (professor, senior lecturer, etc.) \_\_\_\_\_

(Full name)

for \_\_\_\_\_ academic years \_\_\_\_\_

**Compliance with the requirements of the Criteria for assessing the activities  
of the teaching staff**

**1 Educational and methodological work**

Educational work was conducted in accordance with individual plans approved at a department meeting. The average annual teaching load for the reporting period was \_\_\_\_\_ hours, of which classroom hours \_\_\_\_\_, including lectures \_\_\_\_\_.  
Classes were held \_\_\_\_\_ in the courses of the following faculties: \_\_\_\_\_

During the reporting period, lectures and practical classes were conducted according to the schedule, based on working curricula, working and standard curricula, individual plans for the following disciplines::

- for full-time students \_\_\_\_\_  
\_\_\_\_\_  
(name of discipline, specialty)

- for extramural students \_\_\_\_\_  
\_\_\_\_\_  
(name of the discipline, specialty)

In the classes, the main attention was paid to the formation of students' economic thinking, professional competence, an active enlightened position using a combination of classical (traditional) and intensive methods (role-playing and business games, classes-debates, classes-reasoning, etc. (to list which ones specifically), creative tasks, elements of problem-based learning), actively technical training tools (video materials) were used. Intermediate and final control of students' knowledge was carried out using tests, \_\_\_\_\_.

During the reporting period, students' graduation (course) papers were supervised (to give a verbal description of the results).

On the basis of the state mandatory standards of education of the Republic of Kazakhstan and standard curricula, educational and methodological complexes of disciplines, work programs in a number of disciplines were developed.

Table 1. The content of the program and methodological work  
(possibly on average for each year or for the last year)

N	Name of the document	Credit discipline	Faculties, course, specialty
1			

Published during the reporting period \_\_\_\_\_ methodical works, in t,h. of them:



- \_\_\_\_\_ have an ISBN or (and) are recommended by the Scientific and Methodological Council of the SHU;
- \_\_\_\_\_ recommended by the methodological Council of the faculty;
- \_\_\_\_\_ recommended by the department.

The most important of them are:

- Comprehensive tests for \_\_\_\_\_ questions on the discipline methodology \_\_\_\_\_ by discipline \_\_\_\_\_, providing \_\_\_\_\_

As innovative technologies in education \_\_\_\_\_

During the reporting period at the department \_\_\_\_\_ Open classes were held.

Table 2 - Information on open classes for the reporting period

No.	Topic of the open lesson	Type of activity	Date	Time	Faculty, group
1					

General conclusions: the level meets the requirements of higher education and the status of the university

The main remarks.

A common disadvantage is the low availability of technical training facilities and computer equipment, in addition, there are not enough teaching aids for each lesson (student)

Participated (spoke, published articles, etc.) in a methodological seminar

## 2 Research work

2.1 The work on the candidate's thesis on the topic has continued \_\_\_\_\_

2.2 \_\_\_\_\_ articles published during the reporting period ;


2.3 Prepared for publication \_\_\_\_\_ articles

The most important scientific publications should be considered (2 - 3):

2.4. Published (Prepared for publication) \_\_\_\_\_ scientific works together with students

Student \_\_\_\_\_ took 2nd place in the student conference dedicated to \_\_\_\_\_

2.5. Is the head (co-executor) (specify the type of financing) topics "Name of the topic".

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3. Community service

3.1. Career guidance \_\_\_\_\_

3.2. Other directions \_\_\_\_\_  
(specify the types of work and specific results)

3. Professional development

3.1 Outside the university \_\_\_\_\_

3.2 Intra-university \_\_\_\_\_

*Describe the forms of professional development, the availability of certificates, the dissemination of acquired knowledge to the department, faculty, the implementation of the results in the educational process.*

4. Labor and performance discipline, the presence of disciplinary or administrative penalties.

5. Compliance of the certified by the position held at the department with the requirements of Standard The qualification characteristics of the positions of teaching staff and persons equated to them.

6. Compliance of the basic education (or academic degree or academic title) of the certified profile departments and disciplines taught.

Conclusion of the department (name of the department):

Full name corresponds / does not correspond to the position held by the department, it is recommended to certify in the position held by the department for a period of \_\_\_\_\_ years / to certify in the position held.

Additional recommendations: it is recommended to promote /demote.

The reasoned conclusion was approved at the meeting of the department \_\_\_\_\_  
from \_\_\_\_\_ 20\_\_y No. \_\_\_\_\_.

Head of the Department \_\_\_\_\_ Full name.  
signature

« \_\_\_\_ » \_\_\_\_\_ 20\_\_y.


Dean of the Faculty \_\_\_\_\_ Full name  
signature

« \_\_\_\_ » \_\_\_\_\_ 20\_\_y.

seal of the faculty in formed \_\_\_\_\_ Full name  
signature

Comments:

1 The form is recommended, not all sections and tables are required to be included

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## Appendix B

### The form of the service description for the head of the department, subject to certification. Service characteristics

(The attested person's full name is in the genitive case)

Head of the department \_\_\_\_\_

- (The attested person's full name is in the genitive case)
- year of birth \_\_\_\_\_
  - nationality \_\_\_\_\_
  - education \_\_\_\_\_

Full name has been working at the university since \_\_\_\_\_ year, as head of the department (name of the department) for years.

- the following should be reflected in the description:
- the results of the professional activity of the head of the department for the attested period (describe the range of duties performed in accordance with the job description, priority areas for the attested period, the quality and effectiveness of their fulfillment, achievements, shortcomings in the work);
- the level of qualification, competence, professionalism;
- professional development in the field of management (availability of certificates and forms of professional development in the field of management, dissemination and implementation of acquired knowledge in the organization of the educational process);
- performance discipline;
- compliance of the certified head of the department (name of the department) with the requirements of Standard Qualification characteristics of positions of teaching staff and persons equated to them (fulfillment of functional duties is a general conclusion, as well as the availability of basic higher or postgraduate education, an academic degree of the appropriate profile and work experience in teaching or managerial positions for at least 5 years);
- general conclusions, main remarks;
- recommendations for improving professional activity.

#### Conclusion.

Full name meets / does not meet the requirements of the position of the head of the department (name of the department), it is recommended to certify in the position for a period of \_\_\_\_\_ years / not to certify in the position. The characteristic is given for passing the certification.

Vice-Rector for Academic Affairs \_\_\_\_\_ Full name.  
signature


«\_\_\_\_» \_\_\_\_\_ 20\_\_y.

Dean of the Faculty \_\_\_\_\_ Full name..  
signature

«\_\_\_\_» \_\_\_\_\_ 20\_\_y.  
The seal of the faculty

Head of the Department \_\_\_\_\_ Full name..  
signature

«\_\_\_\_» \_\_\_\_\_ 20\_\_y.

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**Appendix B**

**The form of the certification sheet for a civil servant from among the teaching staff.**

Certification sheet for a civil servant from among the teaching staff

1. Last name, first name, patronymic \_\_\_\_\_
2. Date of birth \_\_\_\_\_ 20\_\_y.
3. Information about education, academic degree, academic title \_\_\_\_\_

4. Department, position and date of appointment \_\_\_\_\_

5. Experience of scientific and pedagogical work (years) \_\_\_\_\_

6. Assessment of the activities of a civil servant according to the reasoned conclusion of the department \_\_\_\_\_

7. Compliance with the criteria for evaluating the activity of a teacher \_\_\_\_\_

8. Comments and suggestions made by the members of the attestation commission: \_\_\_\_\_

9. Opinion of the person being certified: \_\_\_\_\_

10. The meeting was attended by \_\_\_\_\_ members of the attestation commission.

11. Assessment of the activities of a civil servant based on the results of voting:

- 1) corresponds to the position held (number of votes) \_\_\_\_\_
- 2) does not correspond to the position held (number of votes) \_\_\_\_\_

12. Recommendations of the attestation commission (indicating the reasons for which they are given) \_\_\_\_\_

13. Decision of the attestation Commission (certified//not certified) \_\_\_\_\_

Chairman of the Attestation Commission \_\_\_\_\_

Signature

Secretary of the Attestation Commission \_\_\_\_\_

Signature

Members of the Attestation Commission \_\_\_\_\_

Signature

Date of certification « \_\_\_\_ » \_\_\_\_\_ 20\_\_y.

I have read the certification sheet \_\_\_\_\_

( civil servant's signature and date)