


<p>СӘТБАЕВ УНИВЕРСИТЕТІ</p> 	<p>MINISTRY OF EDUCATION AND SCIENCE OF THE REPUBLIC OF KAZAKHSTAN</p> <p>NON-PROFIT JOINT STOCK COMPANY "KAZAKH NATIONAL RESEARCH TECHNICAL UNIVERSITY NAMED AFTER K.I. SATBAYEV"</p>	
<p>QMC document Level 3</p>	<p>Revision No. 3 dated "25" 05 2021</p>	<p>Reg. 029-04-01.01 – 2021</p>

REGULATION

on the Dissertation Council
NJSC "KazNRTU named after K.I. Satbayev"

Reg. 029-04-01.01 – 2021

Almaty 2021

PREFACE

1 DEVELOPED by the Institute of Distance Education and Professional Development of NJSC “Kazakh National Research Technical University named after K. I. Satbayev”

2 AGREED

Responsible for translation

Head of the English Language Department

« 20 » 05 2022


A. Turlybekova

3 APPROVED by Decision of the Board "25" 05 2021 No. 14

4 INTRODUCED to replace revision No. 2 dated 29.12.2018

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1 General provisions

1.1 This Regulation on the Dissertation Council (hereinafter referred to as the "Council") was developed within the framework of the following regulatory legal documents:

- State Compulsory Educational Standard of postgraduate education, approved by the order of the Minister of Education and Science of RK dated October 31, 2018 No. 604;
- A standard provision on the Dissertation Council approved by the order of the Minister of Education and Science of RK dated 31.03.2011 No. 126;
- Regulations for awarding degrees approved by the order of the Minister of Education and Science of the Republic of Kazakhstan dated 31.03.2011 № 127.

1.2 Dissertation Councils of NJSC "Kazakh National Research Technical University named after K.I. Satbayev" (hereinafter referred to as the University or KazNRTU) are collegial bodies that defend the dissertation works of doctoral students.

1.3. Doctor of Philosophy (PhD), Doctor in Profile are degrees that awarded to persons who have mastered the Doctoral program in the scientific and pedagogical area or the relevant field of professional activity and defended their dissertation in the Republic of Kazakhstan or abroad, recognized in the manner established by legislation of the Republic of Kazakhstan.

2 Organization of Dissertation Councils activities

2.1 Dissertation Councils are created for 3 (three) calendar years and function if they are available in the relevant areas of training:

- 1) licenses and (or) appendices to the license to engage in educational activities under the Doctoral program;
- 2) educational programs of Doctoral studies in the Register of educational programs in accordance with paragraph 2 of Article 22 of the Law of the Republic of Kazakhstan "On Education" (hereinafter referred to as the Law);
- 3) accredited educational doctoral programs included in the Register of Accredited Educational Programs in accordance with subclause 10) of Article 5 of the Law;
- 4) State educational order for 1, 2 and 3 years of study, allocated in accordance with subclause 2-1) of Article 5 of the Law.

2.2 The Dissertation Council includes at least 6 (six) people who have a scientific degree (Candidate of Sciences, Doctor of Sciences, Doctor of Philosophy (PhD), Doctor in Profile) or academic degree of Doctor of Philosophy (PhD), Doctor in Profile or degree of Doctor of Philosophy (PhD), Doctor in Profile.

The Chairman is a person who is an employee of the University. At least 50% (fifty percent) of the members of the Dissertation Council are representatives of other universities, scientific and (or) other organizations.

50% (fifty percent) of members in the Dissertation Council are permanent, including the Chairman, Deputy Chairman and Academic Secretary.

As part of the Dissertation Council, 50% (fifty percent) of members are appointed temporarily for the period of defense of the doctoral student, depending on the topic of doctoral research.

Scientific consultants are not appointed as temporary members of the Dissertation Council, as well as persons affiliated with the doctoral student or his/her scientific consultant:

1) close relatives - parents, children, adoptive parents, adopted brothers and sisters, grandfathers, grandmothers, grandchildren, spouses, relatives- in- law;

2) employees of organizations with which the doctoral student or scientific consultant has labor or other relations that involve receiving financial or other resources from them;

3) co-authors of articles and reviews published jointly within the last 3 (three) years.

When creating Dissertation Councils, information about applicants for membership in the Dissertation Council is provided in the form according to Appendix 1 to this Regulation.

2.3 The Dissertation Council does not include:

1) Rector of the University;

2) employees of the Ministry of Education and Science of the Republic of Kazakhstan;

3) specialists who were scientific consultants, dissertation managers who received a negative decision of the Dissertation Content Committee over the past 5 (five) years.

2.4 As part of the Dissertation Council, 1 (one) of the members should be a foreign scientist.

2.5 Requirements for publications of members of the Dissertation Council. In Dissertation Councils, at least 2/3 (two thirds) of the members must have an h-index of at least 3 (three) or publications in peer-reviewed international scientific journals:

1) in the areas of training 8D05 Natural Sciences, Mathematics and Statistics, 8D06 Information and Communication Technologies, 8D07 Engineering, Processing and Construction Industries, 8D08 Agriculture and Bioresources, 8D09 Veterinary Medicine, 8D10 Healthcare and Welfare (Medicine), 8D11 Services - at least 3 (three) in publications included in the first three quartiles according to Journal Citation Reports of the Clarivate Analytics company or having in the Scopus database Cite Score percentile at least 35 (thirty-five) in one of the scientific fields corresponding to the areas of training;

2) for other areas of personnel training at least 2 (two) publications over the past 5 (five) years in publications included in the first three quartiles according to Journal Citation Reports of the Clarivate Analytics company or having in the Scopus database Cite Score at least 35 (thirty-five) in one of the scientific fields corresponding to the areas of training.

2.6 Permanent composition and changes in it, as well as Chairman, Deputy Chairman and Academic Secretary of the Council shall be approved by order of the Rector based on the decision of the Academic Council (hereinafter referred to AC) of KazNRTU.

2.7 Chairman of the Dissertation Council:

- provides general guidance of the activities of the Dissertation Council;
- holds meetings of the Council;
- ensures compliance with the competence to defend the dissertation in accordance with the established requirements;
- is responsible for the activities and organization of the work of the Dissertation Council.

2.8 Deputy Chairman of the Dissertation Council:

- performs the functions of the Chairman of the Dissertation Council for holding a meeting of the Council in cases where the Chairman of the Council is a scientific consultant on the defended dissertation, as well as in the absence of the Chairman of the Dissertation Council;

2.9 The Academic Secretary of the Dissertation Council ensures:

- verification of compliance of documents submitted by the doctoral student with the established requirements;
- formation of the doctoral student's attestation case after defending the dissertation;
- quorum at meetings of the Academic Council;
- preparation of documentation required for conducting meetings of the Dissertation Council;
- preparation of a quarterly report on the decisions made by the Dissertation Council on the award (refusal to award) of the degree of Doctor of Philosophy (PhD) and a report on the work of the Dissertation Council for a calendar year;
- control over the defense procedure;
- organization of technical equipment for the work of the Dissertation Council;
- timely submission of documents and materials by doctoral students to the authorized structural subdivision of KazNRTU.

2.10 Information on creating the Dissertation Council is posted on the University website within 5 (five) working days from the date of publication of the Rector's order.

2.11 The University provides:

- 1) necessary conditions for holding meetings of the Dissertation Council and public defense of dissertations, including through the use of information and communication technologies, software and technical means;
- 2) verification of dissertations in licensed borrowing detection systems, including international databases. Higher education institutions ensure the existence of a Plagiarism Checking Commission;
- 3) reimbursement of expenses related to the activities of the Dissertation Council, including travel expenses of members of the Dissertation Council.

2.12 The grounds for closing the Dissertation Council for a specific

educational program (specialty) are:

1) 3 (three) or more decisions on dissertations defended in this Council, on the basis of which the doctoral student is refused to award a degree or the dissertation is sent for revision or re-defense;

2) decertification on the right to conduct educational activities in the relevant areas of doctoral training;

3) expiration of the accreditation period of the educational program of doctoral studies (with the exception of HSEI).

If the Dissertation Council violates the requirements established in this Regulation more than 3 (three) times, the Chairman, Deputy and Scientific Secretary of the Dissertation Council are replaced.

3 Functions of the Dissertation Council

3.1 Functions of the Dissertation Council:

- acceptance of documents for the defense of the dissertation;
- appointment of temporary members of the Dissertation Council, date of defense and official reviewers;
- formation of the Commission from among the members of the Dissertation Council (hereinafter - the Dissertation Council Commission) to verify the dissertation for the use of borrowed material by the doctoral student without reference to the author and the source of borrowing (plagiarism);
- conducting public defense of doctoral dissertation;
- making a decision on the dissertation;
- other functions established by this Regulation.

3.2 Members of the Dissertation Council:

- provide objective, complete and reliable information;
- do not allow the concealment of data related to the defense of the dissertation;
- react to violations of scientific ethics;
- when making a decision, they are free from the influence of public opinion, one of the parties or third parties;
- take measures to prevent and resolve conflicts of interest;
- in the process of activity do not use rude, offensive expressions, accusations that harm the honor and dignity of other council members, doctoral students, scientific consultants and official reviewers.

If the facts of non-compliance with the requirements specified in this paragraph are revealed, a member of the Dissertation Council is excluded from its composition.

3.3 At the end of the calendar year, the Dissertation Council submits to the Committee a report on the work of the Dissertation Council in the form according to Appendix 2 to this Regulation.

3.4 Doctoral students who have fully mastered the educational programs of doctoral studies and submitted dissertation works or a series of articles published by

a doctoral student in accordance with the requirements of the Rules for awarding degrees approved by the order of the Minister of Education and Science of RK dated March 31, 2011 No. 127 (hereinafter referred to as the Rules for awarding degrees) are allowed to defend the dissertation work.

3.5 The Dissertation Council defends a dissertation submitted by a doctoral student in the form of a dissertation work or a series of articles published by a doctoral student in accordance with the requirements of paragraph 5-1 of the Rules for awarding degrees.

3.6 The dissertation is presented in one of the following forms:

- 1) dissertation work;
- 2) a series from not less than two articles and one review published in the editions entering the first and/or the second quartile according to Journal Citation Reports of the Clarivate Analytics Company. In one of the articles, a doctoral student is the first author or the first author for correspondence.

3.7 The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD), Doctor in Profile are published before defending a dissertation in scientific editions included in the List of scientific publications recommended for the publication of the main results of scientific activity, approved by the authorized body in accordance with subclause 121) of paragraph 16 of the Regulation on the Ministry of Education and Science of the Republic of Kazakhstan, approved by Decree of the Government of the Republic of Kazakhstan dated October 28, 2004 No.1111 (hereinafter referred to as the List of Publications), and/or in an international peer-reviewed scientific journal.

Articles in the international peer-reviewed scientific journals are taken into account depending on the area of training, namely:

- 1) in the areas of training 8D05 Natural Sciences, Mathematics and Statistics, 8D06 Information and Communication Technologies, 8D07 Engineering, Processing and Construction Industries, 8D08 Agriculture and Bioresources, 8D09 Veterinary Medicine, 8D10 Healthcare and Welfare(Medicine), 8D11 Services - in publications included in a certain quartile according to Journal Citation Reports (hereinafter - JCR) of Clarivate Analytics Company, or in publications that have a Cite Score percentile in the Scopus database;

- 2) for other areas of personnel training - in publications having an impact-factor according to JCR data or indexed in the Web of Science Core Collection database (Arts and Humanities Citation Index sections), Science Citation Index Expanded, Social Sciences Citation Index of Clarivate Analytics Company, as well as in publications that have a certain percentile for Cite Score in the Scopus database.

If there is 1 (one) article in an international peer-reviewed scientific journal having an impact- factor based on JCR data (or indexed in the Web of Science Core Collection database) (Arts and Humanities Citation Index sections), Science Citation Index Expanded, Social Sciences Citation Index)) or Cite Score percentile no less than 25 (twenty-five) in Scopus database, the number of articles in journals from the List of Publications is 3 (three).

If there is 1 (one) article in the journal having impact-factor according to JCR data or percentile indicator according to Cite Score no less than 25 (twenty-five) in the Scopus database and 1 (one) article in a journal included in the first three quartiles of the JCR database or Scopus database percentile Cite Score no less than 50 (fifty), to publish articles in the scientific publications included in the List of publications is not required.

If there is one scientific article in the journal included in the first quartile of the JCR base, no other publications are required.

Articles in the international peer-reviewed scientific journals correspond to the thematic focus of the journal stated in these databases, and are published in current issues. In addition, at the time of publication of the article or defense of the dissertation, the journal has a percentile on in the Scopus database or an impact-factor (or indexed) in the Web of Science Core Collection database at least in one of the scientific fields corresponding to the content of dissertation.

If there are scientific articles exceeding the required number in the international peer-reviewed scientific journals, they are considered as articles in the scientific publications included in the List of publications.

The foreign patents included in the Web of Science database of the Clarivate Analytics Company are considered as the publications in the international peer-reviewed scientific publications.

When defending dissertations containing state secrets or information for official use, the main results of the dissertation are published in at least 7 (seven) publications on the topic of the dissertation, including at least 4 (four) articles - in the scientific publications included in the List of publications.

All publications should indicate the affiliation of the University - Satbayev University.

3.8 The dissertation is marked with references:

- 1) sources of cited materials or individual results with indication of complete output data;
- 2) security documents for developments received by a doctoral student independently or in co-authorship;
- 3) scientific works on the topic of the dissertation, performed by a doctoral student independently or in co-authorship.

If plagiarism is identified in the dissertation, the Dissertation Council makes a negative decision without the right to re-defend.

3.9 To verify the compliance of scientific publications, paragraph 3.6 of this Regulation, a doctoral student submits a list of published scientific works in electronic and printed form with confirmation of the indexation of these journals in the databases of Web of Science Clarivate Analytics and/or Scopus to the authorized structural unit.

3.10 Before accepting documents for defense, the University in which the doctoral student was trained conducts a preliminary discussion of the dissertation at an expanded meeting of the department (hereinafter referred to as the expanded meeting).

One (1) month before the extended session, the dissertation is sent to 2 (two) specialists with a scientific degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD), Doctor of Profile) or Academic Degree of Doctor of Philosophy (PhD), Doctor of Profile in the field of doctoral research.

The reviewers submit the written review. This review should contain the following items: the relevance of the research topic, the scientific results and their validity, the practical and theoretical significance of scientific results, the degree of their reliability, the personal participation of the doctoral student in obtaining scientific results, the completeness of publication of the dissertation materials in press, comments and proposals. Reviews are issued to the doctoral student no later than 1 (one) day before the meeting of the department.

3.11 The expanded meeting is attended by at least 2/3 (two-thirds) of the members of the department, reviewers, members of the Scientific or Academic Council of the structural unit, scientific consultants, as well as representatives of related departments and (or) structural divisions of KazNRTU, scientific and other organizations, practitioners (for dissertations of an applied nature).

In the absence of consultants, their feedback on the doctoral student's dissertation at the meeting is read out by the head of the KazNRTU department or her (his) deputy.

3.12 Discussion of the dissertation at a meeting of the department at the place of the dissertation includes the following:

- presentation of the Chairman of the department meeting (covers the dates of approval of the dissertation research topic and scientific consultants, terms and place of scientific internships within the framework of the Doctoral program);
- a doctoral student's presentation;
- questions of the participants of the meeting of the department – answers of a doctoral student;
- presentation of the scientific consultants, in the absence of a foreign consultant, announcement of his recall;
- reviewers' presentations;
- a doctoral student's responses to the reviewers' comments and conclusions on their wishes and recommendations;
- discussion of the participants of the department meeting;
- acceptance of the conclusion is carried out by open voting, by a majority of votes.

3.13 The conclusion on the dissertation about the recommendation or non-recommendation for defense is drawn up in the form of an extract from the minutes of the extended department meeting and (or) structural unit, signed by the Chairman of the meeting and approved by the Vice-Rector for Academic Affairs, in which a doctoral student was trained. The conclusion should set out the following points: the relevance of the research topic, scientific results, their validity and novelty, practical and theoretical significance of scientific results, degree of their reliability, personal participation of the doctoral student in obtaining scientific results, proof of the provisions submitted for defense, completeness of publication of the dissertation

materials in the press in accordance with the requirements of paragraph 6 of the Rules for awarding degrees, comments and suggestions, conclusion about the recommendation or non-recommendation for defense.

3.14 After discussing the dissertation at an expanded meeting of the department and a positive conclusion on the recommendation for defense, a doctoral student goes on defense within 6 (six) months. If this period is exceeded, the doctoral student re-passes the procedure of the dissertation discussion at an expanded meeting of the department.

3.15 After receiving the positive conclusion of the expanded meeting of the department, the doctoral student submits an application addressed to the Rector of KazNRTU on the choice of the Dissertation Council where he will defend his dissertation. If the doctoral student specifies the Dissertation Council of another University, he forms a package of documents in accordance with the requirements of this Dissertation Council, and within 10 (ten) working days the documents with a cover letter on the form of the University where the doctoral student was trained, signed by the supervising Vice-Rector, are sent to the Dissertation Council.

3.16 The following documents shall be submitted to the Dissertation Council of KazNRTU:

- an application addressed to the Chairman of the Dissertation Council about accepting a dissertation for defense
- reviews of domestic and foreign scientific consultants certified at the consultant's place of work. The translation of the feedback of a foreign consultant must be notarized. For dissertations containing state secrets, there should be review of a domestic consultant;
- minutes of the extended meeting of the department, where the dissertation with a positive conclusion and recommendation for defense was carried out, approved by the supervising Vice-Rector of the University, where the doctoral student was trained;
- a dissertation in hardcover, in 3 (three) copies and on the electronic medium (CD-disc) (if the dissertation is defended in the form of dissertation work);
- a list of scientific papers certified by the Chief Scientific Secretary of the University where the doctoral student was trained, and copies of publications;
- the conclusion of the Ethical Commission of the University, where the doctoral student studied, on the absence of violations in the process of planning, assessing, selecting, conducting and disseminating the results of scientific research, including the protection of the rights, safety and well-being of research objects (wildlife and habitats).

The dissertation work is presented in one of three languages: Kazakh, Russian or English.

The documents specified in this paragraph shall be registered by the Academic Secretary of the Dissertation Council and submitted to the Dissertation Council within at least two (2) working days.

At the meeting of the Dissertation Council for accepting a dissertation for defense, the permanent composition of the Council appoints temporary members of

the Dissertation Council in accordance with the requirements of paragraph 2.2 of this Regulation.

3.17 No later than ten (10) working days from the date of accepting the documents, the Dissertation Council determines the date of defense of the dissertation and appoints two official reviewers with a degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD), Doctor of Profile) or having the academic degree of Doctor of Philosophy (PhD), Doctor of Profile or the degree of Doctor of Philosophy (PhD), Doctor of Profile, and no less than 5 (five) scientific papers in the field of the doctoral student research.

The date of defense does not exceed 3 (three) months from the date of appointment of the defense date. When setting the defense date of protection, the order of receipt of doctoral students' documents is observed.

3.18 When appointing the official reviewers, the Dissertation Council is guided by the principle of independence from each other of reviewers and scientific consultants as well.

As official reviewers are not appointed:

- the employees of the Committee for Control in the Field of Education and Science;

- co-authors of the doctoral student on works published on the topic of the dissertation;

- heads and employees of structural divisions of KazNRTU and (or) scientific organization, where the dissertation was performed and (or) research work is carried out, for which the doctoral student is the customer or executor (co-executor);

- specialists who were the scientific consultants or the official reviewers who provided a positive opinion on dissertations that received a negative decision of the Committee on the content of the dissertation over the past 3 (three) years.

3.19 The Dissertation Council posts the following materials about the doctoral students' defenses and Council activities in the KazNRTU Internet resource (except for materials and dissertations containing state secrets or information for official use):

1) the notice of the upcoming defense indicating information about the doctoral student, temporary members of the Dissertation Council and official reviewers, the forms of submitting the dissertation, address, date and time (1 (one) month before the established date of defense, available on the ongoing basis);

2) the dissertation (one (1) month before the established date of defense), as well as all versions finalized according to the comments of the Dissertation Council with the corresponding notes on the title page (available on the ongoing basis);

3) the annotation in the Kazakh, Russian and English languages with a total volume of no more than 15 pages (1 (one) month before the established date of defense). The annotation describes the topic, purpose of the dissertation study, research, research methods, basic provisions (proven scientific hypotheses and other conclusions that are of new knowledge), taken for defense, description of the main results of the study, justification of the novelty and importance of the results obtained, compliance with the fields of the development of science or state

programs, description of the doctoral student's contribution to the preparation of each publication;

4) the list of publications of the doctoral student (one (1) month before the established date of defense);

5) reviews of the scientific consultants (1 (one) month before the established date of defense), which are available for at least 5 (five) months after defense;

6) feedback from the official reviewers (5 (five) working days before the established date of defense);

7) video recording of the defense in full, montage is not allowed (placed within 5 (five) working days after defense and available for at least 5 (five) months after defense);

8) the conclusion of the Dissertation Council on sending the dissertation work for revision, re-defense or refusal to award the degree of Doctor of Philosophy (PhD), Doctor in Profile (is placed within 5 (five) working days after defense and is available for at least 5 (five) months after defense);

9) the decision of the Appellate commission (if any, is placed within 5 (five) working days after the decision is made and is available within at least 5 (five) months after the decision is made);

10) The report on the work of the Dissertation Council in accordance with Appendix 2 to this Regulation (is posted within 15 (fifteen) working days after the end of the calendar year);

11) the quarterly report on the decisions made by the Dissertation Councils on the award (refusal to award) of the degrees of Doctor of Philosophy (PhD), Doctor in Profile in accordance with Appendix 2 to this Regulation. The quarterly report is posted within 5 (five) working days after the end of the quarter and is available during the period of the Dissertation Council activities;

12) information on organizing the issuance of a diploma on awarding the degree of Doctor of Philosophy (PhD), Doctor in Profile;

13) announcements of changes in the date, time, place of defense and replacement of the official reviewers (if any);

14) information on the composition of the Dissertation Council and the procedure for the activities of the Dissertation Council;

15) information on the availability of a licensed borrowing detection system, including on the international databases with indication of validity periods;

16) conclusion of the Ethical Commission of the University (in the form according to Appendix 4 to this Regulation), where the doctoral student studied, on the absence of violations in the process of planning, assessing, selecting, conducting and disseminating the results of scientific research, including the protection of the rights, safety and well-being of research objects (wildlife and habitats);

17) information on organizing a meeting of the Dissertation Council online in the form of a videoconference.

3.20 After placing the dissertation work on the Internet resource of the University and/or admission of the dissertation (in the case of defending dissertations containing state secrets or information for official use), changes in it

are not allowed. If the dissertation work is finalized, its final version is posted on the KazNRTU Internet resource after the decision is made to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile with the note "Final version of the dissertation work." When placing a dissertation on the KazNRTU Internet resource, copyright protection is ensured, technologies for protection against illegal copying and further use of dissertation materials are used.

It is possible to post unofficial reviews on the content of dissertation with their further presentation at the defense on the KazNRTU Internet resource. Unofficial reviews, for which it is impossible to establish authorship and there is no e-mail address of the author, are not presented for defense.

The notice of the upcoming defense shall be sent by the Dissertation Council to the Committee within five (5) working days from the date of admission to the defense.

3.21 Within 10 (ten) working days after acceptance for defense, the Dissertation Council sends the dissertation to be checked for the use of plagiarism by the doctoral candidate in domestic and international databases to the Joint Stock Company "National Center for State Scientific and Technical Expertise" (hereinafter referred to as NCSSTE). The title page and the list of used sources are not checked for plagiarism.

NCSSTE ensures that the text of the dissertation is placed in the public domain on its Internet resource within 10 (ten) working days from the date of admission. The dissertation is available on a permanent basis.

Verification of dissertations containing state secrets or information for official use, for the use of borrowed material by the doctoral student without reference to the author and the source of borrowing is carried out at the NCSSTE or commission basis in the military, special educational institutions and (or) scientific organizations subordinate to the national security bodies of the Republic of Kazakhstan, the Ministry of Internal Affairs of the Republic of Kazakhstan, the Prosecutor's office of the Republic of Kazakhstan and the Ministry of Defense of the Republic of Kazakhstan.

3.22 A copy of the dissertation on paper and (or) electronic media is send to the KazNRTU library. Within 7 (seven) working days after defense, the copies of dissertation on electronic medium are delivered by the Academic Secretary of the Dissertation Council to the National Academic Library of the Republic of Kazakhstan and the National Library of the Republic of Kazakhstan (except for dissertations containing the state secrets and information for official use).

3.23 Based on the study of the dissertation and published works, official reviewers submit written reviews to the Dissertation Council in the form in accordance with Appendix 5 to this Standard Regulation.

In the case of defending a dissertation in the form of a series of articles, the official reviewers give comments on the scientific level of the doctoral candidate's articles on the research topic. If 2/3 (two thirds) or more of the article content is not related to the research topic of the doctoral student, the official reviewer does not take it into account.

In reviews, the official reviewers indicate one of the following solutions:

- 1) award the degree of Doctor of Philosophy (PhD) or Doctor in Profile;
- 2) send the dissertation for revision (except for cases of defending the dissertation in the form of a series of articles);
- 3) refuse to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile.

Copies of the reviews of official reviewers are handed over to the doctoral student no later than five (5) working days before the defense of the dissertation.

Replacement of the official reviewers is carried out in case of written refusal or impossibility of peer review. If the decision to replace the official reviewer is made in less than 5 (five) working days, then the defense date is postponed.

3.24 If there are some facts of plagiarism specified in the report of NCSSTE, in the reviews of the official reviewers and unofficial reviews on the KazNRTU Internet resource, the Dissertation Council Commission checks the dissertation for plagiarism. The conclusion on the results of the verification is submitted to the Dissertation Council no later than 8 (eight) working days before the defense of the dissertation.

3.25 The Commission of the Dissertation Council is formed from among the members of the Dissertation Council in the amount of no more than 2 (two) people to check the dissertation for the use of borrowed material by the doctoral candidate without reference to the author and source of borrowing (plagiarism) in the cases specified in paragraph 3.24 of this Regulation. The Commission may not include members of the Expert Commission for this dissertation, the supervisor of the doctoral student if he is a member of the Dissertation Council.

3.26 Based on the conclusion of the Commission of the Dissertation Council (not later than 7 (seven) working days before the defense), the Dissertation Council decides on the admission of a doctoral student to the defense or withdraws the thesis from the defense. The Dissertation Council informs the doctoral student about the decision taken within 2 (two) working days, and the relevant information is posted on the KazNRTU Internet resource (except for cases of defending dissertations containing state secrets and information for official use).

The doctoral student has the opportunity to withdraw the dissertation from defense, but no later than 7 (seven) working days before its defense.

3.27 The Chairman, Deputy Chairman and Academic Secretary of the Dissertation Council cannot fulfill their duties at a meeting of the Dissertation Council in the event that the dissertation of a doctoral student for whom they are scientific consultants is considered. The performance of the duties of the Chairman of the Dissertation Council is vested in the Deputy Chairman, the performance of the duties of the Deputy Chairman and Academic Secretary is vested in the members by the decision of the Dissertation Council.

In case of simultaneous absence of the Chairman, Deputy Chairman and Scientific Secretary, the meeting of the Dissertation Council is not held.

The Dissertation Council provides a video recording of the defense of the dissertation in full, montage is not allowed.

3.28 A meeting of the Dissertation Council is considered competent if at least 2/3 (two-thirds) of its members took part in its work. Participation in the meeting of the official reviewers and temporary members of the Dissertation Council is mandatory.

Members of the Dissertation Council and official reviewers are allowed to take part in the defense in the form of a video conference.

Public defense of the dissertation is carried out in the mode of live online broadcast in the Internet. In the case of defending dissertations containing state secrets or information for official use, the participation of members of the Dissertation Council and official reviewers in the form of a video conference, as well as broadcasting in the Internet, is not allowed.

It is allowed to participate in the meeting of invited specialists in the practical field (if the dissertation has the applied character).

The Dissertation Council informs the doctoral student, members of the Dissertation Council, official reviewers about holding a meeting of the Dissertation Council in the form of a video conference at least five (5) working days before defending the dissertation by e-mail and announcing on the Council website.

During the meeting of the Dissertation Council in the form of a video conference, the following is provided:

- visual identification of the meeting participants;
- continuous video and audio broadcasting of speeches of the meeting participants on the Internet;
- video and audio recording of the meeting;
- secret ballot of members of the Dissertation Council.
- responses of the doctoral student to the comments of the official reviewers and conclusions on their wishes and recommendations;
- informal reviews (if available, read by the Academic Secretary);
- discussion of the participants of the meeting of the Dissertation Council;
- formation of a Counting Commission in the amount of 3 (three) people from the Dissertation Council and holding a secret ballot;
 - speech of the Chairman of the Counting Commission on the results of the secret ballot, approval of the Protocol of the Counting Commission;
 - announcing the defense results;
 - preparation and acceptance of the conclusion of the Dissertation Council on the dissertation. The acceptance of the opinion is carried out by open voting, by a simple majority of votes.

3.29 The Dissertation Council holds a secret ballot to make one of the following decisions:

- 1) award the degree of Doctor of Philosophy (PhD) or Doctor in Profile;
- 2) send the dissertation for revision (only if the dissertation is defended in the form of a dissertation work);
- 3) send the dissertation for re-defense;
- 4) refuse to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile.

The dissertation work is sent for revision if it contains insignificant comments on the text, the correction of which does not change the essence of the work. If the dissertation does not comply with paragraph 4 and/or 6 of the Rules and/or partially complies with the principles (except for the principle of academic integrity) specified in paragraph 5 of the Rules, then it is sent for re-defense. In case of violation of the principle of academic integrity or non-compliance with the principles of scientific novelty, internal unity, reliability, a decision is made to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile.

3.30 Members of the Dissertation Council who are scientific consultants, immediate supervisors or are closely related to a doctoral student, as well as invited specialists do not participate in the voting.

The official reviewers take part in the secret ballot, whose votes are equivalent to those of members of the Dissertation Council.

The Council decision to award (or apply to the Committee for award) a degree of PhD or Doctor in Profile is considered to be accepted if 3/4 (three-quarters) or more of the voting persons voted for him.

The decision of the Council to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile, to send the dissertation for revision or for re-defense is considered to be accepted if 2/3 (two-thirds) or more persons participating in the voting voted for him. If the specified number of votes is not collected, the second secret ballot is held, where a decision is made to send the dissertation for revision or re-defense, if the majority of people participating in the vote voted for him.

3.31 When making a decision to send a dissertation for re-defense or to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor in Profile, the Dissertation Council draws up an opinion that reflects what requirements of this Regulation and the Rules for awarding degrees this dissertation does not meet.

Re-defense of the dissertation work is carried out no earlier than six (6) months after the previous defense in the manner established by this Regulation. The composition of temporary members of the Dissertation Council and the official reviewers is preserved. The dissertation is sent for re-defense no more than 2 (two) times.

3.32 When making a decision on sending for revision, the Dissertation Council adopts an opinion containing the specific comments on the dissertation work.

The revised dissertation work is submitted to the Dissertation Council within a three-month period, which can be extended for no more than 3 (three) months. The decision to extend the revision period is made by the Dissertation Council on the basis of the application of the doctoral student. If the revised dissertation work is not submitted within the established time frame, the doctoral student is re-defended.

In case of complete or partial disagreement of the doctoral student with the comments of the Dissertation Council, he presents the reasoned answers to these comments.

The revised dissertation work is sent to the NCSSTE to be checked for plagiarism. After receiving the certificate from NCSSTE, the Dissertation Council, together with the official reviewers, holds a meeting to discuss the revised dissertation work and responses to comments (if any) in order to eliminate the comments of the Dissertation Council. The meeting shall be held in accordance with the procedure established in paragraph 32 of this Model Regulation. At the same time, a video recording of the meeting is held without online broadcasting on the Internet.

After discussion by a simple majority of votes by secret ballot, a decision is made to award the degree or send it for re-defense.

3.33 The Academic Secretary of the Dissertation Council forms the attestation case of the doctoral student within 30 (thirty) calendar days after the defense of the doctoral dissertation at the Dissertation Council. The attestation case is kept in the Dissertation Council for at least 1 year and then transferred to the archive of KazNRTU. The following documents are attached to the doctoral student's attestation file:

- dissertation in the hardcover and on electronic medium. A dissertation containing state secrets or information for official use is also submitted on paper (in case of defense with a dissertation work);

- list and copies of scientific publications on the topic of the dissertation;

- a copy of the identity document;

- a certificate from NCSSTE on checking the dissertation for plagiarism. For a dissertation containing state secrets or information for official use, a certificate of checking the dissertation for plagiarism is submitted to the commission in the military, special educational institutions and (or) scientific organizations subordinate to the national security bodies of the Republic of Kazakhstan, the Ministry of Internal Affairs of the Republic of Kazakhstan, the Prosecutor's office of the Republic of Kazakhstan and the Ministry of Defense of the Republic of Kazakhstan, ;

- reviews of scientific consultants;

- reviews of 2 (two) official reviewers;

- attendance sheet of members of the Dissertation Council in the form according to Appendix 3 to this Regulation;

- video recording in full and minutes of the meeting of the Dissertation Council for the defense of the dissertation and discussion of the revised dissertation work (if necessary), signed by the Chairman and Academic Secretary;

- a copy of the transcript on the development of the professional curriculum of Doctoral studies;

- information about a doctoral student in the form according to Appendix 4 to these Regulations.

3.35 Within 5 (five) working days from the date of defense, the Academic Secretary of the Dissertation Council sends the following documents for the state registration to the National Center for State Scientific and Technical Expertise: a copy of the dissertation in unbound form on paper and electronic media, two copies

of the dissertation registration card in the state and Russian languages, a list of works on electronic media (in Word format).

3.36 The dissertation, according to which the negative decision of the Dissertation Council was made, is submitted for re-defense in the manner established in Chapter 3 of this Regulation.

When submitting a dissertation for re-defense, the Dissertation Council appoints 3 (three) members of the Dissertation Council, who draw up an opinion on the elimination of violations in the dissertation established earlier. The conclusion is posted on the KazNRTU Internet resource at least ten (10) working days before the defense and is read out at the defense of the dissertation.

4 Procedure for conducting an appeal

4.1 An appeal against the negative decision of the Dissertation Council is submitted by the doctoral student addressed to the Rector of KazNRTU in any form within 2 (two) months from the date of the decision of the Dissertation Council. After the expiration of the specified period, an appeal is not accepted for consideration.

4.2 The appeal shall contain the following data:

- surname, name, patronymic (last - if any) of the doctoral student/other person applying, specialty code and the name of the Dissertation Council in which the dissertation was defended;

- information on the appealed decision of the Dissertation Council.

4.3 For pre-trial settlement of disputes on the issues of awarding PhD degrees, the authorized structural unit within 1 (one) month from the date of appeal shall create an appeal commission (hereinafter referred to as the Commission) consisting of 2 (two) representatives of the authorized structural unit and 3 (three) scientists in the relevant specialty who are not the scientific consultants, reviewers, members of the Dissertation Council.

4.4 The Commission shall be guided in its activities by this Regulation and the Rules for awarding degrees. The Commission considers the materials of the certification case and prepares an opinion on the results of the appeal within thirty (30) calendar days from the date of its formation.

4.5 The opinion of the Appellate Commission is accepted by the members of the Commission on the basis of open voting by a majority of votes and signed by all members of the Commission.

4.6 The decision of the Appellate Commission within 5 (five) working days from the date of its adoption is reported to the doctoral student and posted on the website of KazNRTU.

4.7 Disputes not settled by this Regulation, including on the issues of refusal to award the degree of Doctor of Philosophy (PhD), Doctor in Profile, restoration of the appeal period, shall be resolved in the court established by the legislation of the Republic of Kazakhstan.

5 Awarding the degrees of Doctor of Philosophy (PhD), Doctor in Profile

5.1 Based on the decision of the Dissertation Council the authorized structural subdivision of KazNRTU, issues an appropriate order to award (refuse to award) the degree of Doctor of Philosophy (PhD) / Doctor in Profile to the doctoral student within 10 (ten) working days from the date of the decision.

5.2 Persons who have been awarded the degree of Doctor of Philosophy (PhD) / Doctor in Profile are issued diplomas of their own sample within 5 (five) working days from the date of issuance of the order provided for in paragraph 5.1. Information on awarding the degree of Doctor of Philosophy (PhD), Doctor in Profile is posted on the Internet resource of KazNRTU within 3 (three) working days from the date of the decision of the Dissertation Council.

5.3 In case of refusal to award the degree of Doctor of Philosophy (PhD)/Doctor in Profile, the dissertation is submitted by the doctoral student for defense again, but not earlier than a year after the previous defense at KazNRTU.

6 Special Conditions

6.1. A doctoral student who has mastered the full course of theoretical training of the educational program of Doctoral Studies and who has completed the RWDS but has not defended his doctoral dissertation, is assigned training results and academic credits, and is given the opportunity to defend his dissertation free of charge for one year after graduation, and in subsequent years on a paid basis in the amount of at least 4 academic credits.

At the same time, after 3 years after graduation, a doctoral student is allowed to defend only after re-approval of the scientific justification of the dissertation study (research proposal) on a paid basis. Third-party doctoral students from the Universities that do not have the Dissertation Council are given the right to defend doctoral dissertations in the Dissertation Council of KazNRTU on a paid basis. At the same time, the doctoral student pays for 4 (four) credits, based on the cost of 1 (one) doctoral study credit, approved by the internal documents of the University.

7 Resource and financial support for organizing the work of the Dissertation Council

7.1 Annually the Academic Secretary of the Dissertation Council by January 15 forms and submits a draft budget application for travel expenses for nonresident members of the Dissertation Council for the upcoming fiscal year to the Department of Finance and Accounting of KazNRTU.

8 Final provisions

8.1 . General responsibility for the work of the Dissertation Council is vested in the Chairman of the Dissertation Council.

8.2 All the documents on the Dissertation Council are kept by the Academic Secretary for one calendar year, and then, according to the established procedure, are transferred to the archive of KazNRTU.

8.3 This Regulation shall be enacted from the date of approval in accordance with the established procedure.

Appendix 1
to Regulation on the Dissertation
Council Form

Information about the applicants for the Dissertation Council membership

No. in order	(Surname, name, patronymic (if any)) (in the State, Russian or English languages)	Degree, academic title	Main place of work	Citizenship	Hirsch Index according to Web of Science or Scopus database	Publications in the international peer-reviewed scientific journals included in the first three quartiles according to the Journal Citation Reports or having at least 35 percentiles according to CiteScore in the Scopus database	Publications in the journals from the List of publications
1	2	3	4	5	6	7	8

Appendix 2
to Regulation
on the Dissertation Council
Form

Report on the work of the Dissertation Council

Dissertation Council at

(name of the University)

in the area of personnel training _____

The report contains the following information:

1. Data on the number of meetings held.
2. Surnames, names, patronymic (if any) of the members of the Dissertation Council who attended less than half of the meetings.
3. List of doctoral students indicating the organization of training.
4. A brief analysis of the dissertations reviewed by the Council during the reporting year, highlighting the following sections:
 - 1) analysis of the topics of the reviewed works;
 - 2) connection of the topics of dissertations with the field of development of science, which were formed by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with paragraph 3 of Article 18 of the Law "On Science" and (or) state programs;
 - 3) analysis of the level of implementing the results of dissertations into practical activity.
5. Analysis of the work of the official reviewers (with examples of the most poor-quality reviews).
6. Proposals for further improvement of the training system of scientific personnel.
7. The number of dissertations for the degrees of Doctor of Philosophy (PhD), Doctor in Profile in the context of personnel training areas:
 - 1) dissertations accepted for defense (including doctoral students from other universities);
 - 2) dissertations withdrawn from consideration (including doctoral students from other universities);
 - 3) dissertations for which negative opinions of reviewers were received (including doctoral students from other universities);
 - 4) dissertations with a negative decision on the results of defense (including doctoral students from other universities);
 - 5) dissertations aimed at revision (including doctoral students from other universities);

6) dissertations aimed at re-defense (including doctoral students from other universities).

Chairman of the Dissertation Council _____
(signature, surname, name, patronymic (if any))

Academic Secretary of the Dissertation Council _____
(signature, surname, name, patronymic (if any))

Seal date " ____ " _____ __ 20

Appendix 3
to the Regulation on the
Dissertation Council
Form

**Quarterly report on the decisions made by Dissertation Councils on the award
(refusal to award) of the degrees of Doctor of Philosophy (PhD), Doctor in
Profile**

No. in order	Surname, name, patronymic (if any) of the doctoral student	Year of birth	The period of study in the doctoral studies	University where the doctoral student studied	Theme of dissertation	Scientific consultants ((surname, name, patronymic (if any)), degree, place of work)	Official reviewers ((surname, name, patronymic (if any)), degree, place of work)	Date of defense	Adopted decision of the Dissertation Council and the Appellation Commission (if any)	№ Diploma No.
1	2	3	4	5	6	7	8	9	10	11
Dissertation Council in the specialty (area of personnel training)										

Appendix 4
to Regulation on
the Dissertation Council
Form

Conclusion of the Ethics Commission _____
(name of the university)

1.	Surname, name patronymic of a doctoral student	
2.	Specialty (educational program) of doctoral studies	
3.	The period of study in doctoral studies	
4.	Thesis topic, approval date	
5.	Data on scientific consultants - Surname, name, patronymic (if any), positions and places of work, degrees, citizenship	
6.	Objects of study	
7.	Violations in the process of planning, evaluating, selecting and conducting scientific research	. Violations are detected or not detected. If violations are found, they must be indicated.
8.	Violations in the process of delivering the results of scientific research	Violations are detected or not detected. If violations are found, they must be indicated.
9.	How was the protection of the rights, safety and well-being of the study objects (in the case of wildlife and habitat) carried out?	

Chairman of the Ethics Commission _____
(signature, surname, name, patronymic (if any))

Secretary of the Ethics Commission _____
(signature, surname, name, patronymic (if any))

Appendix 5
to Regulation on
the Dissertation Council
Form

Written feedback from the official reviewer

No. in order	Criteria	Compliance with the criteria (you must mark one of the answer options)	Justification of the official reviewer's position
1.	The topic of the dissertation (at the time of its approval) corresponds to the areas of development of science and/or state programs	1.1 Compliance with priority areas of development of science or state programs: 1) The dissertation was completed within the framework of a project or target program financed from the state budget (indicate the name and number of the project or program) 2) The dissertation was carried out within the framework of another state program (indicate the name of the program) 3) The dissertation corresponds to the priority area of the development of science approved by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (indicate the area)	
2.	Significance for science	The work makes/does not make a significant contribution to science, and its importance is well disclosed/not disclosed	
3.	Principle of independence	Level of independence: 1) High; 2) Medium; 3) Low; 4) There is no independence	
4.	Principle of internal unity	4.1 Rationale for the relevance of the dissertation: 1) Justified; 2) Partially justified; 3) Not substantiated 4.2 The content of the dissertation reflects the topic of the dissertation: 1) Reflects; 2) Partially reflects; 3) Does not reflect 4.3 The purpose and objectives correspond to the topic of the dissertation.: 1) correspond; 2) partially correspond;	

		3) do not correspond	
		4.4 All sections and provisions of the dissertation are logically interconnected: 1) are fully interconnected; 2) the relationship is partial; 3) there is no relationship	
		4.5 New solutions (principles, methods) proposed by the author are argued and evaluated in comparison with known solutions: 1) there is a critical analysis; 2) partial analysis; 3) analysis not of one's own opinion, but of quotes from other authors	
5.	The principle of scientific novelty	5.1 Are scientific results and regulations new? 1) completely new; 2) partially new (25-75% are new); 3) not new (less than 25% are new)	
		5.2 Are the conclusions of the dissertation new? 1) completely new; 2) partially new (25-75% are new); 3) not new (less than 25% are new)	
		5.3 Are technical, technological, economic or managerial decisions new and justified? 1) completely new; 2) partially new (25-75% are new); 3) not new (less than 25% are new)	
6.	Validity of the main conclusions	All key findings are based/not based on scientifically sound evidence, or reasonably well-founded (for qualitative research and arts and humanities courses)	
7.	Basic provisions for defense	The following questions need to be answered for each position separately: 7.1 Is the position proven? 1) proven; 2) rather proven; 3) rather unproven; 4) not proven 7.2 Is it new? 1) yes; 2) no 7.3 Is trivial? 1) yes; 2) no 7.4 Application Level: 1) narrow; 2) medium; 3) wide 7.4 Is it proven in the article? 1) yes; 2) no	

8.	Reliability principle Reliability of sources and information provided	8.1 The choice of methodology is justified or the methodology is described in sufficient detail 1) yes; 2) no	
		8.2 The results of the dissertation work were obtained using modern methods of scientific research and methods of processing and interpreting data using computer technologies: 1) yes; 2) no	
		8.3 Theoretical conclusions, models, identified relationships and patterns have been proven and confirmed by the experimental research (for areas of training in pedagogical sciences, the results have been proven on the basis of a pedagogical experiment): 1) yes; 2) no	
		8.4 Important statements are supported / partially supported / not supported by references to relevant and reliable scientific literature	
		8.5 Literature sources used are sufficient/not sufficient for literary review	
9	Principle of practical value	9.1 The dissertation has theoretical significance: 1) yes; 2) no	
		9.2 The dissertation is of practical importance and there is a high probability of applying the results obtained in practice: 1) yes; 2) no	
		9.3 Are the proposals for practice new? 1) completely new; 2) partially new (25-75% are new); 3) not new (less than 25% are new)	
10.	Quality of writing and design	Quality of academic writing: 1) high; 2) average; 3) below average; 4) low.	

Appendix 6
to the Regulation on
the Dissertation Council
Form

Attendance sheet of members of the Dissertation Council

Meeting of the Council dated “___” _____ 20, Minutes No. _____
 Doctoral Candidate Dissertation
 Defense _____

(surname, first name, patronymic (if any))

in the field of personnel training _____

Surname, name, patronymic (if any) of the members of the Dissertation Council	Degree	Attendance at the meeting (signature)
1	2	3

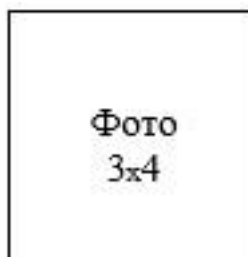
Academic Secretary of the Dissertation Council _____

(signature, surname, name, patronymic (if any))

Appendix 7
to the Regulation on
the Dissertation Council
Form

Information about the doctoral student

(surname, name, patronymic (if any))



1	Date and place of birth, citizenship, nationality		
2	Information on doctoral studies (university and period of study)		
3	Specialty of doctoral studies		
4	Place of defense and date of defense of the dissertation		
5	Thesis Topic and Language		
6	Scientific consultants (Surname, name, patronymic (if any), position, academic degrees, academic titles, citizenship)		
7	Official reviewers (Surname, name, patronymic (if any), position, academic degrees, academic titles, citizenship)		
8	Number of publications, total, including:		
	In journals from the List of publications		
	in foreign publication from the Web of Science database or Scopus		
	in the materials of international conferences, including:		
	in the materials of foreign conferences		
9	Labor activity		
	Date	Place of work, position	Location of the institution
recruitment	dismissal		

10	Place of residence, contact details		

Academic Secretary of the Dissertation Council _____
(signature, surname, name, patronymic (if any))

Seal, date " __ " _____ __ 20

AMENDMENT RECORD SHEET _____

Sequential number of amendment	Section, paragraph of the document	Type of amendment (amend, cancel, add)	Notification number and date	Amendment made	
				Date	Surname and initials, signature, position