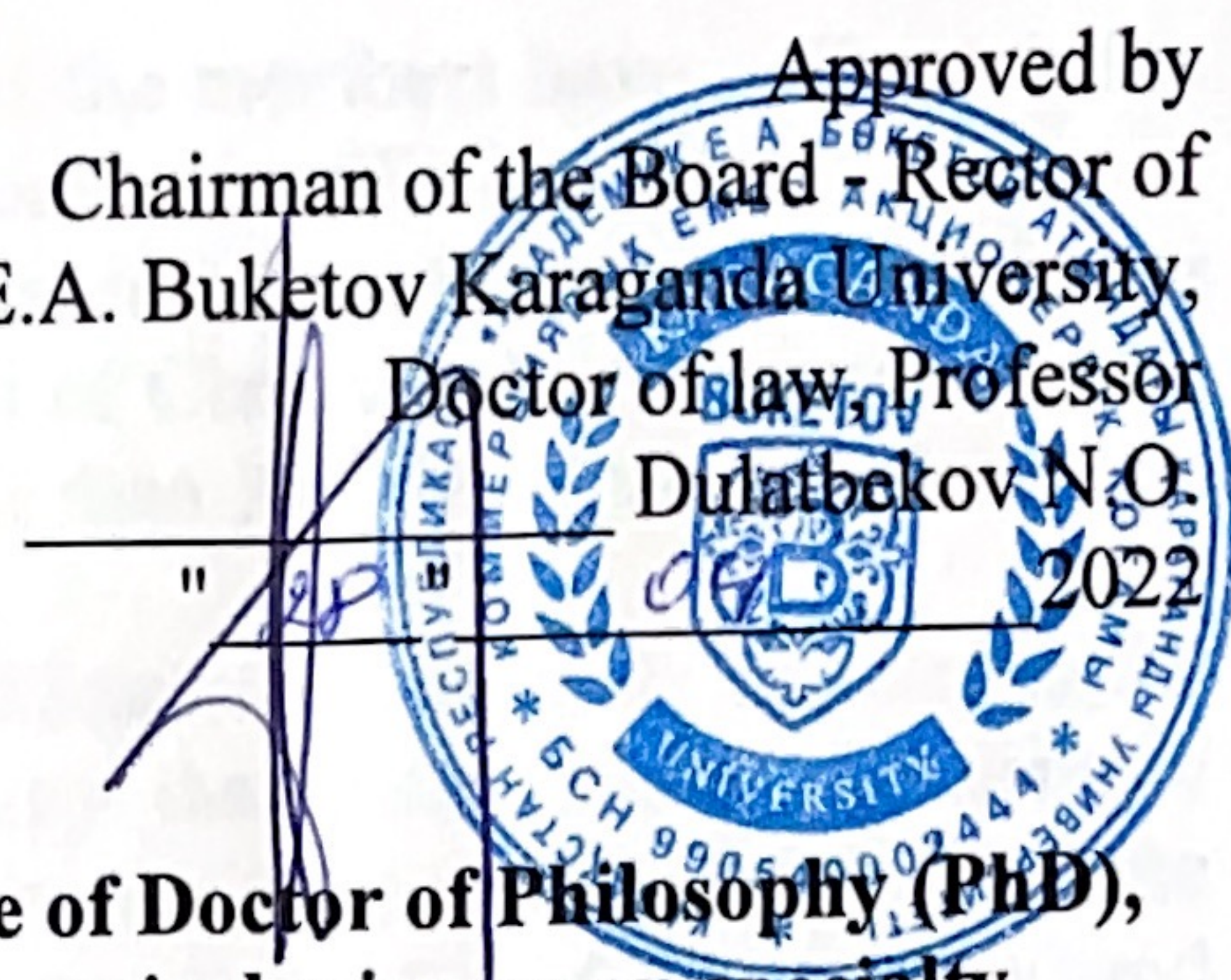


Approved by  
Chairman of the Board Rector of  
Academician E.A. Buketov Karaganda University,

Doctor of Law, Professor  
Dulatbekov N.O.

2022



### Regulations

**on the Dissertation Council for awarding the degree of Doctor of Philosophy (PhD),  
Doctor of Specialization in the field of study 01 Pedagogical sciences on specialty  
6D011900/8D01702/8D01701900 – Foreign language: two foreign languages in Academician  
E.A. Buketov Karaganda University**

1. The present Regulations on the Dissertation Council are developed in accordance with subparagraph 13) of article 4 of the Law of the Republic of Kazakhstan dated February 18, 2011 "On science", the order of the Minister of education and science of the Republic of Kazakhstan dated 31.03.2011, № 126 "On Approval of the Model Regulations on the Dissertation Council", according to the order of the Ministry of Education and Science of the Republic of Kazakhstan №58 of February 18, 2022.

2. Dissertation Council of E.A. Buketov Karaganda University is a collegial body, which carries out defense of dissertations of doctoral students and intercedes with the Committee for quality assurance in education and science of Ministry of education and science of the Republic of Kazakhstan (hereinafter – the Committee) on awarding the degree of Doctor of Philosophy (PhD), Doctor of Specialization (the Dissertation Committee);

3. The Dissertation Council is created for a period of 3 (three) calendar years if the university has a state educational order for the corresponding specialties (areas of training) of doctoral studies;

4. The body of the Dissertation Council for each specialty includes at least 6 (six) professionals who have a degree (Candidate of Sciences, Doctor of Science, Doctor of Philosophy (PhD), Doctor of Specialization) or the academic degree of Doctor of Philosophy (PhD), Doctor of Specialization or the degree of Doctor of Philosophy (PhD), Doctor of the Specialization, at least half of the members of the Dissertation Council are the representatives of other Universities, scientific and (or) other organizations.

Within the body of the Dissertation Council, 50% (fifty) of members of the Dissertation Council are permanent members, including the Chairman, the Deputy Chairman and Scientific Secretary.

Within the body of the Dissertation Council, 50% (fifty) of members of the Dissertation Council are appointed temporarily for the period of doctoral defense, depending on the topic of doctoral research.

For the post of a temporary member of the Dissertation Council cannot be appointed scientific advisers, as well as persons affiliated with a doctoral student or his scientific adviser:

1) close relatives - parents, children, adoptive parents (adopters), adopted children, brothers or sisters, grandfathers, grandmothers, grandchildren, spouses, relatives;

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.

5. The head of the Institution at which the Dissertation Council is created, employees of the Ministry of education and science of the Republic of Kazakhstan, the specialists who were scientific consultants, supervisors of dissertations defended in the Republic of Kazakhstan or abroad, that received a negative decision during the last 5 (five) years, the staff and members of expert councils of the Committee are not included in the Dissertation Council;

6. In the Dissertation Council, at least 2/3 (two-thirds) of the members have a Hirsch index of at least 3 (three) or publications in peer-reviewed international scientific journals:

1) at least 2 (two) publications over the past 5 (five) years in issues that are included in the first three quartiles according to the Journal Citation Reports of Clarivate Analytics or have the CiteScore percentile indicator in the Scopus database not less than 35(thirty-five) in at least one of the scientific fields corresponding to the training direction;

2) at least half of the members have at least 10 (ten) publications in journals included in the List of scientific publications, recommended for publishing the main results of scientific activities approved by the authority in accordance with subparagraph 121) of paragraph 16 of the Regulations on the Ministry of education and science of the Republic of Kazakhstan, and approved by the resolution of the Government of the Republic of Kazakhstan dated October 28, 2004 № 1111 (hereinafter - the List of publications);

7. Composition and changes in the composition of the Dissertation Council are approved by order of the rector based on the decision of the Academic Council of the University. The Dissertation Council elects from Council members the Chairman, the Deputy Chairman and Scientific Secretary;

8. All costs associated with the activities of the dissertation Council, including travel expenses of nonresident members of the Dissertation Council are reimbursed by the University where the Dissertation Council operates.

9. The University provides verification of dissertations in licensed plagiarism detection system, including international databases. University provides a Commission on checking for plagiarism.

10. Dissertation Council publishes information about the Council's activities on the Internet resources of the University. At the end of the calendar year the Dissertation Council submits a statistical report on the work done in the Committee according to the form in Annex 2 of the Model Regulations.

11. The Dissertation Council provides:

1) acceptance of documents to the thesis defense;

2) appointment of temporary members of the Dissertation Council, defense date and the official reviewers of the thesis;

3) formation of the Commission from among the members of the Dissertation Council (hereinafter - the Commission of the Dissertation Council) in order to check the dissertation for the use of borrowed material by a doctoral student without citing the author or source of borrowing (plagiarism);

4) conducting the public defense of the doctoral dissertation;

5) making decision about the dissertation.

12. Members of the dissertation Council:

1) provide objective, complete and reliable information;

2) do not allow the concealment of data related to the defense of the dissertation;

3) respond to violations of scientific ethics;

4) when taking decisions, are free from the influence of public opinion, one of the parties or of third parties;

5) take measures to prevent and resolve conflicts of interest;

6) in the course of activity, do not use rude, abusive language, accusations, damaging the honor and dignity of other members of the Council, doctoral students, scientific consultants and official reviewers.

In case of detection of the facts of non-compliance with the requirements specified in this paragraph, a member of the Dissertation Council is excluded from its composition.

13. In case of violation by the Dissertation Council of the requirements, established in the Model Regulations, more than 3 (three) times, there comes substitution of the chairman, the deputy and scientific secretary of the Dissertation Council.

14. The Dissertation Council conducts a dissertation defense submitted by a doctoral student in the form of a dissertation 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, approved by the order of the Ministry of Education and Science of the Republic of Kazakhstan.

15. The university, where the doctoral student was trained, provides a discussion of the dissertation of doctoral candidate at an expanded meeting of the Department and (or) structural division.

At least 1 (one) month before the arrangement of the enlarged meeting, the dissertation is sent to 2 (two) experts holding academic degrees (Doctors of Sciences, Candidates of Sciences, Doctor of Philosophy (PhD), Doctor of Specialization) or the academic degree of Doctor of Philosophy (PhD), Doctor of Specialization or the degree of Doctor of Philosophy (PhD), Doctor of the Specialization in the field of research of the doctoral student.

An expanded meeting is attended by at least 2/3 (two thirds) of the members of the Department and (or) structural subdivisions, scientific consultants, and representatives of cognate (related) departments and (or) structural subdivisions of the University, scientific and other organizations.

When the consultants are absent, their feedback on the dissertation of doctoral candidate is read out by the head of the Department or structural division of the University at the meeting.

16. After receiving a positive opinion of the expanded meeting of the Department and (or) structural subdivision of the University, the doctoral student submits an application to the rector of the University on the choice of the Dissertation Council, in which he will defend his thesis. In case the doctoral candidate indicates the Dissertation Council of another University, within ten (10) working days, the university where the doctoral student was trained delivers the documents to the Dissertation Council.

After passing the pre-defense, the doctoral student submits the dissertation work to the Ethics Commission of the University for consideration. The Ethics Committee conducts analysis of the materials of scientific-research work of the doctoral student/ doctoral studies graduate and make a conclusive statement of the University about the absence of irregularities in the process of planning, evaluation, selection, conduct, and dissemination of the research results, including rights protection, safety and well-being of the research objects (wildlife and habitat).

The applicant (doctoral student) and his / her supervisor are invited to the meeting of the Ethics Committee. Following the consideration of the submissions, the Secretary of the Ethics Committee prepares a draft report and other documents identified in the Model Regulations on the Dissertation Council, which are sent to the Dissertation Council where the doctoral candidate will defend his dissertation.

The higher educational institution, in which the doctoral student was trained, besides a cover letter on the university letterhead, submits the following documents to the Dissertation Council:

1) the reviews of domestic and foreign scientific consultants (for dissertations that contain state secrets, reviews of domestic consultants);

2) the positive conclusion of the extended meeting of the Department and (or) structural subdivision;

3) the dissertation in hard cover or electronic medium (CD-ROM) (hereafter electronic media);

4) the list of scientific works and their copies.

5) the conclusion of the Ethics Committee of the University, where the doctoral student was trained, about the absence of irregularities in the process of planning, evaluation, selection, conduct, and dissemination of the research results, including rights protection, safety, and well-being of the research objects (wildlife and habitat).

The dissertation is submitted in Kazakh, Russian, or English. The length of the dissertation is to be not less than 120 pages and not more than 150 pages. References in the dissertation are to the following:

1) the sources of cited materials or individual results, indicating the full imprint;

2) the documents of protection for the developments received by him independently or in co-authorship;

3) the scientific papers, accomplished by him independently or in co-authorship, on the topic of the dissertation.

The documents, specified in this paragraph, are registered by the scientific Secretary of the Dissertation Council and, within a period of not less than 2 (two) working days, submitted to the Dissertation Council.

At the meeting of the Dissertation Council for accepting a dissertation for defense, a permanent composition of the Council appoints temporary members of the Dissertation Council in accordance with the requirements of paragraph 5 of the Model Regulations.

17. The permission to defend the dissertation is granted to doctoral students who have mastered the educational programs of doctoral studies and submitted for registration their dissertations, which are made in accordance with the requirements of the paragraphs 5 – 8 "Rules for awarding scientific degrees".

The main scientific results of dissertation for the degree of Doctor of Philosophy (PhD), Doctor of Specialization are published before defending the dissertation in the scientific editions included into the List of scientific publications, which are recommended for publication of the main results of scientific activities and approved by the authority in accordance (at least 3), in the materials of international conferences, one of which was held in the far abroad (at least 3), as well as in international peer-reviewed scientific journals (at least 1), namely:

1) in publications that have an impact factor according to JCR or are indexed in the Web of Science Core Collection database (Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index of Clarivate Analytics, as well as in publications that have a CiteScore percentile indicator of at least 25 (twenty five) in the Scopus database.

If there is 1 (one) article in an international peer-reviewed scientific journal that has an impact factor according to JCR or the CiteScore percentile indicator of at least 25 (twenty-five) in the Scopus database and 1 (one) article in a journal that is in the first three quartiles of the JCR database or has a CiteScore percentile of at least 50 (fifty), publication of articles in 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 database, no other publications are required.

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

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

Foreign patents included in the Web of Science database of Clarivate Analytics are counted as publications in international peer-reviewed scientific publications.

18. Not later than 10 (ten) working days from the day of receiving the documents of the dissertation, the Council determines the date for defending the dissertation, and appoints two official reviewers, who have a scientific degree (Doctor of Sciences, Dandidate of Sciences, doctor of Philosophy (PhD), Doctor of Specialization) or the academic degree of Doctor of Philosophy (PhD), Doctor of Specialization or the degree of Doctor of Philosophy (PhD), Doctor of Specialization and at least 5 (five) scientific papers in the field of research of the doctoral student.

Date for defense does not exceed more than 3 (three) months from the date of appointment of the date for defense. When appointing the date for defense, the order of receipting the documents of doctoral students is observed.

19. In the appointment of official reviewers<sup>6</sup> the Dissertation Council is guided by the principle of independence of the reviewers, the scientific advisers from each other.

As official reviewers the following are not assigned:

- 1) the staff of the Committee;
- 2) the doctoral student's co-authors on papers published on the topic of the dissertation;
- 3) the heads and employees of structural subdivisions of the University and (or) scientific organization, where the dissertation was carried out and (or) where the doctoral student carries out the research work for which he/she is the customer or the contractor (co-executor);
- 4) the specialists who were scientific consultants or official reviewers who provided a positive opinion on dissertations that received a negative decision about the content of the dissertation from the Dissertation Council over the past 3 (three) years.

20. The Dissertation Council places the following information about the defense of doctoral students and of the Council's activities on the Internet resources of the University (except for materials and dissertations containing state secrets):

- 1) a notification of the upcoming defense indicating information about the doctoral candidate, temporary members of the Dissertation Council and official reviewers, the dissertation submission form, address, date and time (1 (one) month before the date of defense, available on a permanent basis);

- 2) a dissertation (1 (one) month before the date of defense), as well as all its versions modified according to the comments of the Dissertation Council with the appropriate notes on the title page (available on a permanent basis);

- 3) an abstract in Kazakh, Russian, English with a total length of no more than 15 pages (1 (one) month before the date of defense). Abstract describes the topic, the purpose of the dissertation research, research objectives, research methods, the main provisions (proven scientific hypotheses and other conclusions that are new knowledge) submitted for defense, a description of the main research results, the rationale for the novelty and importance of the obtained results, compliance with the directions of science development or government programs, a description of the contribution of the doctoral student to the preparation of each publication;

- 4) a list of publications of PhD student (at least 1 (one) month before the date of defense);

- 5) reviews of scientific advisers (1 (one) month before the date of defense) that are available for 5 (five) months after the defense;

- 6) reviews of official reviewers (5 (five) working days before the date of defense);

- 7) a full video of defense, editing is not allowed (posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);

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

- 9) a decision of the Appeal Commission (if any, is posted within 5 (five) working days after the decision and available for at least 5 (five) months after the decision formulation);

- 10) a report on the work of the Dissertation Council in accordance with Annex 2 to the Model Regulations (posted within 15 (fifteen) working days after the end of the calendar year);

- 11) a quarterly report is posted within 5 (five) working days after the end of the quarter and available during the period of activities of the Dissertation Council;

- 12) an information on the organization of awarding the degree of Doctor of Philosophy (PhD), Doctor in Specialization with a diploma;

- 13) announcements about the change of date, time, and location for arranging the defense, and of the replacement of official reviewers (if any);

- 14) an information on the composition of the Dissertation Council and operating procedures of the Dissertation Council.

15) an information about the availability of a licensed system for plagiarism detection, including international databases with expiration dates.

16) a conclusion of the Ethics Commission of the University (according to the form in Appendix 4 to the Model Regulations), in which the doctoral student studied, about the absence of irregularities in the process of planning, evaluating, selecting, conduct, and disseminating the results of scientific research, including rights protection, safety and well-being of research objects (wildlife and habitat);

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

The placing of a dissertation on the Internet resources of the University is provided with copyright protection and application of protection technology against illegal copying and further use of material of a dissertation.

After placing a dissertation on the Internet resource of the University, changes to the text of a dissertation is not permitted. The Internet resources of the University provide the possibility of placing unofficial reviews on the content of dissertation with their further submission for defense. Unofficial reviews for which it is impossible to establish authorship and there is no author's email address are not presented for defense.

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

22. Within 10 (ten) working days after admission for defense, the Dissertation Council sends the dissertation to be checked for the use of plagiarism by the doctoral student in domestic and international databases in the Joint-stock company "National Center for State Scientific and Technical Expertise" (hereinafter - NCSTE). The title page and the list of sources used are not checked for plagiarism.

Checking dissertations containing state secrets or information for official use, for the use of borrowed material by a doctoral candidate without citing the author or the source of borrowing, is carried out at NCSTE or on a commission basis in 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.

23. A copy of the dissertation on paper-based and electronic media is transmitted to the library of the University. Within 7 (seven) working days after the defense, the copies of the dissertation in electronic media are sent by the scientific 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 state secrets and information for internal use).

24. Official reviewers, basing on the study of the dissertation and published papers, submit to the Dissertation Council written reviews in the form in accordance with Appendix 5 to the Model Provision.

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

1) to award the degree of Doctor of Philosophy (PhD) or Doctor of Specialization (in case of defending in a Dissertation Council at a university with a special status) or to apply to the Committee for awarding a degree of Doctor of Philosophy (PhD) or Doctor of Specialization (in case of defending in a Dissertation Council at a university that does not have a special status);

2) to send the dissertation for improvement (except in cases of defending a dissertation in the form of a series of articles);

3) to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor of Science.

Copies of the reviews by official reviewers are delivered to the doctoral candidate not later than 15 (fifteen) working days before the dissertation defense.

If the review does not comply with the requirements of this paragraph, the Dissertation Council, no later than 10 (ten) working days before the defense, returns the review to the official reviewer for additional consideration or replaces the official reviewer.

Replacement of official reviewers is also done in the case of a written refusal or failure to complete the review. In case the decision to replace the official reviewer is made less than 15 (fifteen) working days, the date of defense is rescheduled.

25. If there is evidence of plagiarism, indicated in the report of NCSSTE, in the reviews of official reviewers and unofficial reviews on the Internet resource of the University, the Commission of the Dissertation Council carries out a re-checking of the dissertation for plagiarism using a licensed system for plagiarism detection. The Commission is formed from the number of members of the Dissertation Council in the amount of 5 people.

The conclusive statement about the results of the verification is submitted to the Dissertation Council no later than 8 (eight) working days before the defense of the dissertation.

26. The Dissertation Council on the basis of the conclusions of the Commission of the Dissertation Council (not later than 7 (seven) working days before the defense) decides on the admission of doctoral student to the defense or withdraws the dissertation from the defense. About the decision, the Dissertation Council informs the doctoral student within 2 (two) working days, as well as the relevant information is published on Internet resource of the University (except the cases of defense of dissertation, containing state secrets and information for internal use).

A doctoral student has the opportunity to withdraw a dissertation from defense, but not later than 7 (seven) working days before the defense.

27. The Chairman, the Deputy Chairman and the scientific secretary of the Dissertation Council are unable to perform their duties at the meeting of the Dissertation Council in case when they are scientific advisers of the doctoral student whose dissertation is considered. The duties of the Chairman of the Dissertation Council are assigned to the Deputy Chairman; the duties of the Deputy Chairman and the scientific secretary are assigned to the members by the decision of the Dissertation Council.

In cases of simultaneous absence of the Chairman, the Deputy Chairman and the scientific secretary, the meeting of the Dissertation Council is not carried out. The Dissertation Council provides the full video recording of the dissertation defense, editing is not allowed.

28. The meeting of the Dissertation Council is considered competent if at least  $\frac{2}{3}$  (two thirds) of its members took part in its work, with the obligatory participation in the meeting of at least 3 (three) specialists in each specialty (direction of training) from among the members of the Dissertation Council. Participation of official reviewers and temporary members of the Dissertation Council in the meeting is mandatory.

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

Participation of the members of the Dissertation Council at the meeting for dissertation defense on-line in the form of video-conferences is also taken into account (no more than  $\frac{1}{3}$  (one third) of the composition of the Dissertation Council).

In the absence (for valid reason) of one of the reviewers, his review is read by the scientific secretary. Official reviewers are allowed to speak at this meeting of the Dissertation Council for defense in the on-line mode in the form of video conference.

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

Participation of invited specialists of practical sphere in the meeting is allowed (if the dissertation is of an applied nature).

The Dissertation Council informs the doctoral candidate, members of the Dissertation Council, official reviewers about the meeting of the Dissertation Council in the form of a videoconference within at least 5 (five) working days before the dissertation defense by e-mail and an announcement on the Council website.

When holding a meeting of the Dissertation Council in the form of a videoconference, the following is provided:

- visual identification of the meeting participants;
- continuous video and audio broadcasting of the speeches of the meeting participants on the Internet;
- video and audio recording of the meeting;
- secret ballot of the members of the Dissertation Council.

In the context of the introduction of quarantine measures due to the unfavorable epidemiological situation in the country, the defense of dissertation is carried out in an online format using the platform Zoom. The notification of the upcoming defense provides a link with the ID and password of the online conference. Voting is carried out by means of the Google forms platform. Video recording of the defense is arranged by means of technical capabilities of the platform Zoom.

29. The procedure of the meeting of the Dissertation Council for dissertation defense includes the following:

- a welcome speech of the Chairman about the quorum, legality of the meeting, the introduction of a doctoral student, presentation of his specialty, dissertation topic;
- a speech of the scientific secretary for announcing the compliance of the doctoral student's documents with regulatory requirements, indicating the completeness and compliance of scientific publications;
- a doctoral student's performance (20 minutes);
- questions to the doctoral candidate, the doctoral candidate's answers;
- speeches of scientific consultants;
- speeches of reviewers;
- doctoral candidate's responses to reviewers' comments and conclusions on their recommendations;
- discussion of the members of the Dissertation Council;
- a doctoral student's final word;
- elections of the counting commission in the amount of 3 (three) people from the Dissertation Council, excepting the Chairman;
- arranging a secret ballot on the issue of petition for awarding an academic degree (in the conditions of online defense, voting is carried out by means of the Google forms platform, the voting results are announced by the scientific secretary and displayed on the screen);
- a speech of the Chairman of the counting commission on the results of the secret ballot, approval of the protocol of the counting commission;
- an announcement of the results of public defense;
- making a conclusion by the Dissertation Council about the dissertation basing on the defense.

30. The Dissertation Council arranges a secret ballot to make one of the following decisions:

- 1) to award the degree of Doctor of Philosophy (PhD) or Doctor of Specialization (in case of defending in a Dissertation Council at a university with a special status) or to apply to the Committee for awarding a degree of Doctor of Philosophy (PhD) or Doctor of Specialization (in case of defending in a Dissertation Council at a university that does not have a special status);
- 2) to send the dissertation for improvement (only in case of defending a dissertation in the form of a dissertation work);
- 3) to send the dissertation for re-defense;
- 4) to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor of Specialization or to apply to the Committee for awarding the doctoral degree of Doctor of Philosophy (PhD) or Doctor of Specialization (in case of defending in the Dissertation council at a university that does not have a special status).

The dissertation work is sent for improvement if it contains minor comments on the text, and correcting 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, it is sent for re-defense. In case of violation of the principle of academic honesty 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 of Specialization.

The members of the Dissertation Council who are scientific consultants, direct supervisors or close relatives for the doctoral student, as well as invited specialists, do not participate in the voting. Official reviewers, whose votes are equivalent to the votes of the members of the Dissertation Council, take part in the secret ballot.

The decision of the Council to award (or apply to the Committee for awarding) the degree of Doctor of Philosophy (PhD) or Doctor of Specialization is considered adopted if 3/4 (three quarters) or more of the persons participating in the ballot voted for it.

The decision of the Council to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor of Specialization, to send the dissertation for improvement or for re-defense is considered adopted if 2/3 (two-thirds) or more of the persons participating in the ballot voted for it. If the specified number of the votes is not collected, then a second secret ballot is held, at which a decision is made to send the dissertation for improvement or re-defense, if the majority of the persons participating in the ballot voted for it.

When making a decision to send for re-defense or to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor of Specialization, the Dissertation Council draws up a conclusion, which reflects what requirements of this Model Provision and Rules the dissertation does not meet.

The re-defense of dissertation work is carried out no earlier than 6 (six) months after the previous defense in the order determined by these Model Regulations. The composition of temporary members of the Dissertation Council and official reviewers is preserved. The dissertation is sent for re-defense no more than 2 (two) times.

When deciding to send for improvement, the Dissertation Council adopts a conclusion containing specific comments on the dissertation work.

The improved dissertation work is submitted to the Dissertation Council within three months, which can be extended for no more than 3 (three) months. The decision to extend the improvement period is made by the Dissertation Council basing on the application of the doctoral candidate. If the improved dissertation work is not submitted within the established timeframe, the doctoral student undergoes a second defense.

In case of full or partial disagreement of the doctoral candidate with the remarks of the Dissertation Council, he presents reasoned answers to these remarks.

The improved dissertation work is sent to the NCSTE to be checked for plagiarism. After receiving the certificate from the NCSTE, the Dissertation Council, together with official reviewers, holds a meeting to discuss the improved dissertation work and responses to comments (if any) concerning the elimination of the comments of the Dissertation Council. The meeting is held in the order determined in paragraph 32 of the Model Regulations. Moreover, a video recording of the meeting is carried out without online broadcasting on the Internet.

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

31. The Scientific Secretary of the Council forms the attestation case of the doctoral candidate, which is sent to the Committee within 30 (thirty) calendar days after doctoral dissertation defense at the Dissertation Council. After this period the attestation case will not be accepted. The attestation case of doctoral student includes the following documents:

- 1) a cover letter - a petition on the letterhead of the University, where the Dissertation Council is formed, signed by the Chairman of the Dissertation Council, indicating the date of delivering the dissertation to NCSSTE (except dissertations containing state secrets or information only for official use);

- 2) a dissertation in electronic medium (CD). A dissertation containing state secrets or information for official use is provided in hard copy as well;
- 3) a list and copies of scientific publications on dissertation topic;
- 4) a copy of the identity document;
- 5) a certificate from the NCSTE on checking the dissertation for the use of borrowed material by a doctoral student without citing the author or source of borrowing. The dissertation containing state secrets or information for official use is provided with a certificate on checking the dissertation for the use of borrowed material by a doctoral student without citing the author or source of borrowing from the commission in 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;
- 6) an attendance list of the members of the Dissertation Council in the form according to Annex 2 to the Regulations;
- 7) a full video recording and the proceedings of the meeting of the Dissertation Council on the defense of the dissertation signed by the Chairman and scientific secretary;
- 8) a transcript copy on mastering the professional training programs of doctoral studies;
- 9) information about the doctoral student in the form in accordance with Annex 3 to these Regulations.

The documents specified in subparagraphs 1), 3), 4), 5), 6), 8) and 9) are submitted to the Committee in scanned form in the "PDF (pdf)" file format (with the exception of attestation cases containing state secrets or information for official use).

The second copy of the attestation case is sent to the Department of postgraduate education for deposition within 1 (one) year, then it is transferred to the University archives. The third copy of the attestation case is kept by the scientific secretary of the Dissertation Council within 2 (two) years.

32. A dissertation on which a negative decision was made by the Committee or the Dissertation Council is submitted for re-defense in the order determined in Chapter 3 of the Model Provision.

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

An appeal against a negative decision of the Dissertation Council is submitted by the doctoral student in any form within 2 (two) months from the date of the decision to the University which held the defense of the dissertation. The procedure for the appeal is approved by the University independently. Within 10 (ten) working days from the date of filing of appeal, by order of the rector the Appeal Commission (hereinafter – Commission) is formed. The Commission includes three (3) experts with a degree in the relevant specialty. The members of the Commission cannot be scientific consultants, reviewers, members of the Dissertation Council or the Expert Council of the Committee who work in accordance with paragraphs 12 to 17 of the Rules. The Commission is guided in its activities by these Regulations and Rules. The Commission considers the application for appeal, a dissertation, and materials of the Dissertation Council on the defense of the dissertation; it prepares a report on the results of the appeal within 30 (thirty) calendar days from the date of its formation. The conclusion of the Appeal Commission is made 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. In case of positive conclusion of the Commission, copies of the proceedings of the Commission, the conclusion and the dissertation are sent to the Committee within 15 (fifteen) calendar days for taking a final decision. The conclusion of the Appeal Commission is conveyed to the applicant within 5 (five) working days from the date of its adoption;

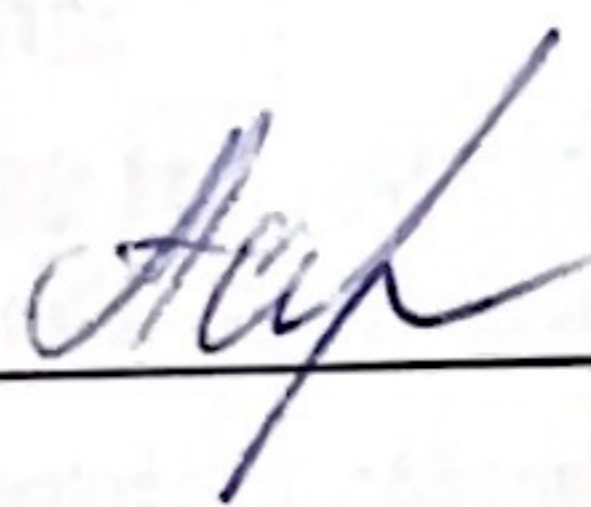
33. The doctoral student who has mastered the full theoretical course of the doctoral educational program but has not fulfilled the research work is provided with an opportunity to re-master academic credits of research work and defend the dissertation in subsequent years on a paid basis.

The doctoral student who has mastered the full theoretical course of the doctoral educational program and fulfilled the research work but has not defended his doctoral dissertation gets his learning outcomes and academic credits assigned and is provided with an opportunity to defend the dissertation within one year after graduation free of charge, and in subsequent years on a paid basis in the amount of not less than 4 academic credits.

Moreover, after 3 years following the graduation, a doctoral student is allowed to defend only after re-approval of the scientific justification (research proposal) of the dissertation research on a paid basis.

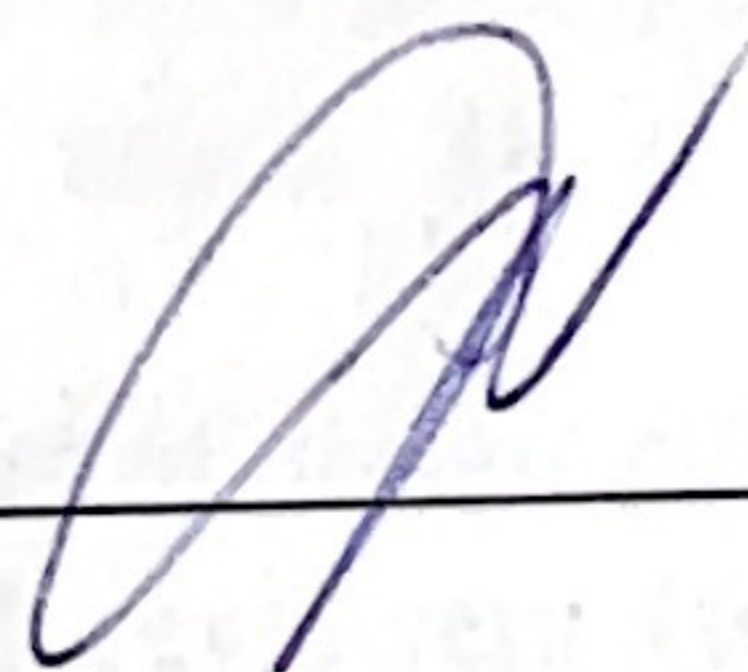
34. The present Regulations come into force from the date of approval by the Academic Council of the University.

Chairman of  
Dissertation council



Assanova D.N.

Scientific secretary of  
Dissertation Council



Tleuzhanova G.K.

Report on the work of the Dissertation Council

Dissertation Council in \_\_\_\_\_

\_\_\_\_\_ (name of University)

on specialties (the direction of training) \_\_\_\_\_

The report contains the following information:

1. Data on the number of meetings held.
2. Surnames, names, patronymics (if any) of the members of the Dissertation Council who attended less than half of the meetings.
3. The list of doctoral candidates with an indication of the organization of training.
4. A brief analysis of the dissertations considered by the Council during the reporting year highlighting the following sections:
  - 1) analysis of the topics of the reviewed dissertations;
  - 2) relation of the topics of the dissertations to the science areas which are formed by the Supreme scientific-technical Commission from the Government of the Republic of Kazakhstan in accordance with paragraph 3 of the article 18 of the Law "On science" and (or) state programs;
  - 3) analysis of the implementation level of dissertations' results into practice.
5. Analysis of the work of official reviewers (with examples of the most low-quality reviews).
6. Suggestions for further improvement of the system of training scientific personnel.
7. Number of dissertations for the degree of Doctor of Philosophy (PhD), Doctor of Specialization by specialties (areas of training):
  - 1) dissertations accepted for defense (including doctoral students from other Universities);
  - 2) dissertations withdrawn (including doctoral students from other Universities);
  - 3) dissertations which received negative reviews from reviewers (including doctoral students from other Universities);
  - 4) dissertations with a negative decision following the results of the defense (including doctoral students from other Universities).

Chairman of  
Dissertation Council \_\_\_\_\_  
(signature, surname and initials)

Scientific Secretary of  
Dissertation Council \_\_\_\_\_  
(signature, surname and initials)

Stamp date " \_\_\_\_\_ " \_\_\_\_\_ 20\_\_



Conclusion of the Ethics Commission

\_\_\_\_\_ name of University

1.	Full name of doctoral candidate	
2.	Specialty (educational program) of doctoral studies	
3.	The period of doctoral studies	
4.	Dissertation topic, date of approval	
5.	Data on scientific consultants - Full name (if any), positions and places of work, academic degrees, citizenship	
6.	Objects of study	
7.	Irregularities in the process of planning, evaluation, selection, and conduct of scientific research	Irregularities detected or not detected. If irregularities are detected, they must be indicated.
8.	Irregularities in the process of dissemination of scientific research results	Irregularities detected or not detected. If irregularities are detected, they must be indicated.
9.	What was the way of arranging the rights protection, safety and well-being of the objects of study (in case there are objects of wildlife and habitat)?	

Chairman of the Ethics Commission

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

Secretary of the Ethics Commission

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

**Written review from the official reviewer**

№	Criteria	Compliance with the criteria (mark one of the answer options)	Обоснование позиции официального рецензента
1.	The topic of the dissertation (as of the date of its approval) corresponds to the directions of development of science and / or state programs	1.1 Compliance with priority areas for the development of science or government programs:	
		1) The dissertation is 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 is completed within the framework of another state program (indicate the name of the program) 3) The dissertation corresponds to the priority direction of the development of science, approved by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (indicate the direction)	
2.	Importance for science	The work makes / does not make a significant contribution to science, and its importance is well disclosed / not disclosed	
3.	The principle of independence	Independence level: 1) High; 2) Medium; 3) Low; 4) There is no independence	
4.	The principle of internal unity	4.1 Rationale for the relevance of the dissertation: 1) Justified; 2) Partially justified; 3) Not justified.	
		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	

		<p>4.4 All sections and provisions of the dissertation are logically interconnected:</p> <ol style="list-style-type: none"> <li>1) fully interconnected;</li> <li>2) interconnection is partial;</li> <li>3) there is no interconnection</li> </ol>	
		<p>4.5 New solutions proposed by the author (principles, methods) are reasoned and evaluated in comparison with known solutions:</p> <ol style="list-style-type: none"> <li>1) there is a critical analysis;</li> <li>2) analysis is partial;</li> <li>3) analysis is not individual opinions, but quotes from other authors</li> </ol>	
5.	The principle of scientific novelty	<p>5.1 Are scientific results and statements new?</p> <ol style="list-style-type: none"> <li>1) completely new;</li> <li>2) partially new (25-75% are new);</li> <li>3) not new (less than 25% are new)</li> </ol>	
		<p>5.2 Are the conclusions of the dissertation new?</p> <ol style="list-style-type: none"> <li>1) completely new;</li> <li>2) partially new (25-75% are new);</li> <li>3) not new (less than 25% are new)</li> </ol>	
		<p>5.3 Technical, technological, economic or management decisions are new and justified:</p> <ol style="list-style-type: none"> <li>1) completely new;</li> <li>2) partially new (25-75% are new);</li> <li>3) not new (less than 25% are new)</li> </ol>	
6.	Justification 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 direction of training)	
7.	Basic provisions for defense	<p>The following questions need to be answered for each provision separately:</p> <p>7.1 Is the provision proven?</p> <ol style="list-style-type: none"> <li>1) proven;</li> <li>2) rather proven;</li> <li>3) rather unproven;</li> <li>4) not proven</li> </ol> <p>7.2 Is it trivial?</p> <ol style="list-style-type: none"> <li>1) yes;</li> <li>2) no</li> </ol> <p>7.3 Is it new?</p> <ol style="list-style-type: none"> <li>1) yes;</li> <li>2) no</li> </ol> <p>7.4 Level for application:</p> <ol style="list-style-type: none"> <li>1) narrow;</li> <li>2) medium;</li> <li>3) wide</li> </ol> <p>7.5 Is it proven in the article?</p> <ol style="list-style-type: none"> <li>1) yes;</li> <li>2) no</li> </ol>	



8.	The principle of reliability Reliability of sources and information provided	8.1 Choice of methodology is justified or methodology is described in sufficient detail 1) yes; 2) no	
		8.2 The results of the dissertation work were obtained by means of modern methods of scientific research and methods for processing and interpreting data using computer technologies: 1) yes; 2) no	
		8.3 Theoretical conclusions, models, identified interconnections and patterns are proven and confirmed by experimental research (for areas of training in pedagogical sciences, the results are proven on the basis of a pedagogical experiment): 1) yes; 2) no	
		8.4 Important statements are supported / partially confirmed / not supported by references to relevant and reliable scientific literature	
		8.5 Used literature sources are sufficient / not sufficient for a literature review	
9	Principle of practical value	9.1 The dissertation has a theoretical value: 1) yes; 2) no	
		9.2 The dissertation is of practical importance and there is a high probability of applying the obtained results in practice: 1) yes; 2) no	
		9.3 Are the suggestions 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 formatting	Quality of academic writing: 1) high; 2) average; 3) below average; 4) low.	

**Attendance list of the members of the Dissertation Council**

A meeting of the Council from "\_\_\_" \_\_\_\_\_ 20\_\_\_, Protocol № \_\_\_\_\_  
Defense of the dissertation by doctoral student \_\_\_\_\_

\_\_\_\_\_ (surname, name, patronymic (if available))  
on specialty (direction of training) \_\_\_\_\_

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

Scientific Secretary of  
Dissertation Council \_\_\_\_\_  
(signature, surname, patronymic (if any))

**Data on doctoral student**

\_\_\_\_\_  
(surname, name, patronymic (if any))

1	Date and place of birth, citizenship, nationality		
2	Information about the doctoral training (university and period of study)		
3	Specialty of doctoral studies		
4	Place and date of the dissertation defense		
5	Topic and language of the dissertation		
6	Scientific consultants (surname, name, patronymic (if any), position, academic degree, academic rank, citizenship)		
7	Official reviewers (surname, name, patronymic (if any), position, academic degree, academic rank, citizenship)		
8	Number of publications, total, including:		
	in journals from the List of publications		
	in a foreign publication from the Web of Science or Scopus database		
	in proceedings of international conferences, including:		
	in materials of foreign conferences		
9	Professional experience		
	Date of	Place of work, position	Location of the institution
	employment	dismissal	
10	Place of residence, contact details		

Scientific Secretary of the Dissertation Council \_\_\_\_\_  
(signature, surname, name, patronymic (if any))

Stamp, date " \_ " \_\_\_\_\_ 20\_\_