

**‘APPROVED’**

**By the decision of the Academic and  
Research Council  
‘M.S. Narikbayev KAZGUU University’ JSC  
Protocol No. 184 from  
October ‘2’, 2024**

**REGULATIONS ON THE DISSERTATION COUNCIL OF  
‘M.S. NARIKBAYEV KAZGUU UNIVERSITY’ JSC ON THE DEFENCE OF  
DISSERTATIONS FOR THE ACADEMIC DEGREE OF DOCTOR OF  
PHILOSOPHY (PhD), PROFESSIONAL DOCTORATE**

**ASTANA, 2024**

1. **DRAFTED AND INTRODUCED BY:** 'M.S. Narikbayev KAZGUU University' JSC
2. **APPROVED AND ENACTED BY:** the decision of Academic and Research Council of 'M.S. Narikbayev KAZGUU University' JSC No. 184 from October '2', 2024
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## **1. GENERAL PROVISIONS**

1.1. The present Regulations on the Dissertation Council of M.S. Narikbayev KAZGUU University (hereinafter - Regulations) is developed on the basis and in accordance with the norms of the Law of the Republic of Kazakhstan from February 18, 2011 'On Science', the Rules of awarding academic degrees approved by the Order of the Minister of Education of the Republic of Kazakhstan dated March 31, 2011 No. 127 (hereinafter - the Rules), the Standard Regulations on the Dissertation Council approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 126 (hereinafter - the Standard Regulations).

1.2. Dissertation Council of M.S. Narikbayev KAZGUU University is a collegial body that conducts the defence of doctoral students' dissertations and applies to the Committee for Quality Assurance in Science and Higher Education of the Ministry of Science and Higher Education of the Republic of Kazakhstan (hereinafter referred to as the Committee) for awarding the degree of Doctor of Philosophy (PhD), Professional Doctorate (hereinafter - Dissertation Council).

1.3. The Dissertation Council is formed at M.S. Narikbayev KAZGUU University (hereinafter - the University) in accordance with the relevant order of the Chairman of the Committee for Quality Assurance in Science and Higher Education.

1.4. Information on the activities of the Dissertation Council is placed on the official Internet resource of KAZGUU.

## **2. COMPOSITION AND FORMATION**

2.1. The Dissertation Council consists of no more than 7 (seven) members. All members of the Dissertation Council have an academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy (PhD), Professional Doctorate) or an academic degree of Doctor of Philosophy (PhD), Professional Doctorate or a degree of Doctor of Philosophy (PhD), Professional Doctorate.

2.2. At least 3 (three) members of the Dissertation Council are representatives of other HEIs, scientific and (or) other organisations.

2.3. There are 4 (four) members of the Dissertation Council who are permanent members, including the Chairman, Deputy Chairman and Academic Secretary of the Dissertation Council.

2.4. Within the Dissertation Council, 3 (three) members of the Dissertation Council are appointed temporarily for the period of the doctoral student's defence depending on the area of doctoral research.

2.5. The permanent composition and changes in it, as well as the Chairman, Deputy Chairman and Academic Secretary of the Dissertation Council are approved by the Provost's order based on the protocol decision of the Academic and Research Council.

2.6. Temporary members of the Dissertation Council shall not be appointed academic advisors, as well as persons affiliated with the doctoral student or his/her academic advisor:

- 1) close relatives - parents (parent), children, adoptive parents, adopted children, full and half-brothers and sisters, grandparents, grandchildren;
- 2) heads and employees of structural subdivisions of HEI and (or) scientific organisation, where the dissertation was performed and (or) research works are conducted, for which the doctoral student is a customer or executor (co-executor);
- 3) co-authors of articles and reviews published jointly within the last 3 (three) years;

4) specialists who were scientific advisors or official reviewers who provided a positive opinion on dissertations that received a negative decision of the Committee on the content of the dissertation for the last 3 (three) years.

2.7. The composition of the Dissertation Council shall not include:

- 1) Provost;
- 2) employees of the Ministry of Science and Higher Education of the Republic of Kazakhstan;
- 3) specialists who were scientific advisors, supervisors for dissertations that received a negative decision of the Committee on the content of the dissertation for the last 5 (five) years.

2.8. In the dissertation councils at the University, one of the members of the council is a foreign scholar.

2.9. At least 4 (four) members of the dissertation council at the University have publications in peer-reviewed international scientific journals:

- at least 2 (two) publications for the last 5 (five) years in the publications indexed in the Web of Science Core Collection database (sections Arts and Humanities Citation Index, Science Citation Index Expanded), Social Sciences Citation Index and are in the first three quartiles according to Journal Citation Reports by Clarivate Analytics or have a CiteScore percentile in the Scopus database of at least 35 (thirty-five) in one of the scientific fields corresponding to the field of study.

A monograph that has been published over the last 5 (five) years in trusted publishing houses or in a university publishing house from the top 100 (one hundred) of US News Best Global Universities Rankings or Academic Ranking of World Universities or Times Higher Education World University Rankings is counted as 2 (two) scientific articles in international peer-reviewed scientific journals. If there is a chapter in the above mentioned monograph (the applicant owns at least 3 (three) printed sheets), it is counted as 1 (one) article in an international peer-reviewed scientific journal.

2.10. The University provides:

- 1) the necessary conditions for holding meetings of the Dissertation Council and the public defence of dissertations, including through the use of information and communication technologies, software and technical means;
- 2) verification of dissertations in licence systems for the detection of borrowings, including international databases;
- 3) reimbursement of expenses related to the activity of the Dissertation Council, including travelling expenses of the members of the Dissertation Council.

### **3. FUNCTIONS OF THE DISSERTATION COUNCIL**

3.1. Functions of the Dissertation Council:

- 1) receipt of documents for the defence of the dissertation;
- 2) appointment of temporary members of the Dissertation Council, the date of defence and official reviewers;
- 3) creation of a commission from the members of the Dissertation Council (hereinafter referred to as the Dissertation Council Commission) to check the dissertation for the doctoral student's use of borrowed material without reference to the author and source of borrowing (plagiarism);
- 4) conducting a public defence of the dissertation;
- 5) making a decision on the dissertation.

### 3.2. Functions of the Academic Secretary of the Dissertation Council:

- 1) organisation of procedures of admission to defence and defence of the thesis;
- 2) sending the dissertation for checking by the 'Anti-Plagiarism system', to the University library, the National Academic Library of the Republic of Kazakhstan and the National Library of the Republic of Kazakhstan, to the official reviewers;
- 3) sending correspondence on the activities of the Dissertation Council;
- 4) placement of materials and information on the website of the Dissertation Council;
- 5) preparation for the meeting of the Dissertation Council, including programme and technical means;
- 6) execution of documents of the Dissertation Council;
- 7) preparation of the package of documents to be sent to the Committee.

### 3.3. Dissertation Council members:

- 1) provide objective, complete and reliable information;
- 2) do not allow concealment of data related to the dissertation defence;
- 3) react to the facts of violation of scientific ethics;
- 4) when making a decision are free from the influence of public opinion, one of the parties or third parties;
- 5) take measures to prevent and resolve conflicts of interest;
- 6) in the process of activity do not use rude, offensive language, accusations that damage the honour and dignity of other members of the Council, doctoral students, scientific advisors and official reviewers.

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

3.4. 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 Annex 2 to this Standard Regulations.

## **4. PREPARATION AND PROCEDURE FOR OBTAINING THE DOCTOR OF PHILOSOPHY (PhD), PROFESSIONAL DOCTORATE DEGREE**

4.1. The Dissertation Council conducts the defence of a dissertation submitted by a doctoral student in the form of a thesis or a series of articles published by the doctoral student in accordance with the requirements of paragraph 5-1 of the Rules for Awarding Degrees, approved by Order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 127 (registered in the Register of State Registration of Regulatory Legal Acts under No. 6951) (hereinafter - the Rules).

4.2. Prior to the admission of documents for defence, a preliminary discussion of the dissertation shall be held at the Extended Session of the Committee on Science of the Law School (hereinafter referred to as the Extended Session). The University may not require the doctoral student to undergo other forms of discussion of the dissertation after the Extended Meeting.

One (1) month prior to the extended meeting, the dissertation is sent for review to 2 (two) specialists with an academic degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD), Professional Doctorate) or academic degree of Doctor of Philosophy (PhD), Professional Doctorate or Doctor of Philosophy (PhD), Professional Doctorate in the doctoral student's field of research.

4.3. At the extended meeting, at least 2/3 (two thirds) of the members of the profile (structural) unit, reviewers, members of the scientific or academic council of the structural unit, scientific advisors, as well as representatives of related departments and (or) structural units of the University, scientific and other organisations, practitioners (for dissertations of applied nature) shall take part. The decision to recommend a dissertation for defence is taken by a simple majority of votes.

4.4. In case a dissertation does not comply with paragraph 4, 5 and (or) 6 of the Rules for Awarding Degrees the dissertation is not sent for defence. Comments on the dissertation recommended for defence shall be taken care of by the doctoral student in case of agreement with them before the dissertation is submitted to the Dissertation Council.

4.5. In case of absence of advisors, their feedback on the doctoral student's dissertation at the meeting is read by the chair or the secretary.

4.6. After receiving a positive decision of the extended session, the doctoral student submits an application to the Provost at the place of study for the selection of the dissertation council in which he/she will be defending his/her dissertation. In case the doctoral student specifies the dissertation council of another HEI, the University at the place of study of the doctoral student sends his/her documents to the dissertation council within 10 (ten) working days. In the HPEI chosen by the doctoral student for defence, it is allowed to hold an extended session in the order approved by the HPEI independently.

4.7. The following documents are submitted to the Dissertation Council:

- 1) feedback from domestic and foreign scientific advisors;
- 2) positive conclusion of the extended meeting;
- 3) dissertation work in hardcover and on an electronic medium (in case the dissertation is defended in the form of a thesis);
- 4) abstract in Kazakh, Russian, English languages. The abstract describes the topic, purpose of the dissertation research, research objectives, research methods, main provisions (proven scientific hypotheses and other conclusions that are new knowledge) put forward for defence, description of the main results of the research, justification of novelty and importance of the obtained results, compliance with the directions of science development or state programmes, description of the doctoral student's contribution to the preparation of each publication;
- 5) list of scientific works and their copies;
- 6) the conclusion of the Ethics Commission of the University, where the doctoral student studied, on the absence of violations in the process of planning, evaluation, selection, conduct and dissemination of the results of scientific research, including the protection of the rights, safety and welfare of research objects (objects of wildlife and habitat).

The thesis shall be submitted in Kazakh, Russian or English. The registration of the documents specified in this paragraph is carried out by the academic secretary of the dissertation council and within a period of no more than 2 (two) working days submits them to the dissertation council.

4.8. At the meeting of the dissertation council on acceptance of the dissertation for defence, the permanent composition of the council appoints temporary members of the dissertation council in accordance with the requirements of these regulations.

4.9. Not later than 10 (ten) working days from the day of receipt of documents, the Dissertation Council determines the date of the dissertation defence and appoints 2 (two) official reviewers who have an academic degree (Doctor of Science, Candidate of Science, Doctor of Philosophy (PhD),

Professional Doctorate) or an academic degree of Doctor of Philosophy (PhD), Professional Doctorate or Doctor of Philosophy (PhD), Professional Doctorate. Reviewers have 5 (five) scientific articles in the field of doctoral student's research in journals included in the Committee's List of Publications and/or Web of Science Core Collection or Scopus databases and/or in foreign peer-reviewed publications or 1 (one) monograph (solely written).

4.10. The date of defence shall not exceed 3 (three) months from the date of appointment of the date of defence. When assigning the date of defence, the order of receipt of documents of doctoral students is maintained.

4.11. When appointing official reviewers, the Dissertation Council is guided by the principle of independence of reviewers, scientific advisors from each other.

As official reviewers shall not be appointed:

- 1) committee staff;
- 2) co-authors of the doctoral student on works published on the topic of the thesis;
- 3) heads and employees of structural subdivisions of HEI and (or) scientific organisation, where the dissertation was performed and (or) research works are conducted, for which the doctoral student is a customer or executor (co-executor);
- 4) specialists who were scientific advisors or official reviewers who provided a positive opinion on dissertations that received a negative decision of the Committee on the content of the dissertation for the last 3 (three) years;
- 5) close relatives - parents (parent), children, adoptive parents, adopted children, full and half brothers and sisters, grandparents and grandchildren.

4.12. The Dissertation Council posts on the University's Internet resource the following materials on the defence of doctoral students and the activities of the Council (except for materials and dissertations containing state secrets or information for official use):

- 1) notification of the forthcoming defence with information about the doctoral student, temporary members of the dissertation council and official reviewers, form of the dissertation submission, address, date and time (1 (one) month before the established date of defence, available on a permanent basis);
- 2) the dissertation (one (1) month before the date of defence), as well as all versions of the dissertation finalised according to the remarks of the dissertation council, with appropriate markings on the title page (available on a permanent basis).;
- 3) abstracts in Kazakh, Russian, English languages (1 (one) month before the established date of defence), the volume of abstracts is determined by the University itself;
- 4) list of publications of the doctoral student (1 (one) month before the established date of defence);
- 5) feedback from scientific advisors (one (1) month before the date set for the defence), which is available for at least five (5) months after the defence;
- 6) Feedback from official reviewers (5 (five) working days before the date of defence);
- 7) video recording of the defence in full, editing is not allowed (posted within 5 (five) working days after the defence and available for at least 5 (five) months after the defence);
- 8) conclusion of the dissertation council on sending the dissertation work for revision, repeated defence or on refusal to award the degree of Doctor of Philosophy (PhD), doctor by profile (posted

within 5 (five) working days after the defence and available for at least 5 (five) months after the defence);

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

10) report on the work of the dissertation council;

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

12) information on the composition of the dissertation council and the procedure for the activity of the dissertation council;

13) information on the availability of a licence system for the detection of borrowings, including international databases, with indication of expiry dates;

14) conclusion of the Ethical Commission of the University in which the doctoral student studied on the absence of violations in the process of planning, evaluation, selection, conduct and dissemination of the results of scientific research, including the protection of the rights, safety and welfare of research objects (objects of wildlife and habitat);

15) information on organising an online meeting of the dissertation council in the form of a videoconference.

After the dissertation is posted on the University's Internet resource and/or admission to the dissertation (in the case of defence of dissertations containing state secrets or information for official use), changes in it are not allowed. In case of finalisation of the dissertation work, its final version is posted on the University's Internet resource after the decision on awarding the degree of Doctor of Philosophy (PhD) or Professional doctorate with the marking 'Final version of the dissertation work'.

4.13. The University's Internet resource provides an opportunity to post unofficial feedback on the content of the dissertation with their further presentation at the defence. Unofficial reviews for which it is impossible to establish authorship and the author's e-mail address is missing are not presented at the defence.

4.14. Notification of the forthcoming defence is sent by the Dissertation Council to the Committee within 5 (five) working days from the date of acceptance for defence.

4.15. Within 10 (ten) working days after acceptance for defence, the Dissertation Council sends the dissertation to the 'National Centre for State Scientific and Technical Expertise' Joint Stock Company (hereinafter - NCSTE) to examine the doctoral student's use of plagiarism in domestic and international databases. The title page and the list of used references are not checked for plagiarism. NCSTE 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 receipt. The dissertation is available on a permanent basis.

4.16. A copy of the dissertation on paper and (or) electronic media is transferred to the University library. Within 7 (seven) working days after the defence, copies of the dissertation on electronic media shall be transferred 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 state secrets and information for official use).

4.17. The official reviewers submit written feedback to the Dissertation Council based on the examination of the dissertation and published works. In case of defence of the dissertation in the form of a series of articles, the official reviewers comment on the scientific level of each article of the



doctoral student according to the research topic. If 2/3 (two thirds) or more of the content of the article is not related to the doctoral student's research topic, the official reviewer does not take it into account.

4.18. In the feedback, the official reviewers indicate one of the following decisions:

- 1) to apply to the Committee for the award of a doctoral degree of Doctor of Philosophy (PhD) or a Professional Doctorate;
- 2) to send the thesis for revision in case the thesis 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 honesty) specified in paragraph 5 of the Rules and (or) there are remarks requiring improvement. In case of defence of the dissertation in the form of a series of articles, the dissertation will not be sent for revision;
- 3) to refuse to award the degree of Doctor of Philosophy (PhD) or Professional Doctorate in case of violation of the principle of academic integrity or non-compliance with the principles of scientific novelty, internal coherence and validity.

Copies of the reviews of the official reviewers are delivered to the doctoral student not later than 5 (five) working days before the thesis defence. The replacement of official reviewers is carried out in case of written refusal or impossibility to carry out the review. If the decision to replace the official reviewer is made in less than 5 (five) working days before, the date of the defence is postponed.

4.19. In case of presence of plagiarism indicated in the NCSTE certificate, in the reviews of official reviewers and unofficial reviews on the University's Internet resource, the Commission of the Dissertation Council carries out a plagiarism check of the dissertation. The conclusion on the results of the examination is submitted to the Dissertation Council not later than 8 (eight) working days before the defence of the dissertation.

4.20. The Dissertation Council on the basis of the conclusion of the Dissertation Council Commission (not later than 7 (seven) working days before the defence) makes a decision on the admission of the doctoral student to the defence or withdraws the dissertation from the defence. The Dissertation Council informs the doctoral student about the decision made within 2 (two) working days, and the relevant information is posted on the University's Internet resource (except for defence of dissertations containing state secrets and information for official use)

4.21. The doctoral student has the opportunity to withdraw the thesis from the defence, however, no later than 7 (seven) working days before the defence of the dissertation.

4.22. The chairperson, deputy chairperson and academic secretary of the dissertation council may not fulfil their duties at a meeting of the dissertation council when the dissertation of a doctoral student scientific advisors of whom they are, is under consideration. The duties of the chairperson of the dissertation council are assigned to the deputy chairperson, the duties of the deputy chairperson and the scientific secretary are assigned to the members of the dissertation council by the decision of the dissertation council.

In case of simultaneous absence of the chairman, deputy chairman and academic secretary, the meeting of the dissertation council is not held.

The dissertation council provides video recording of the dissertation defence in full; editing is not permitted.

4.23. A meeting of the dissertation council is considered competent if at least 2/3 (two thirds) of its members participated in its work. 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 defence in the form of a video conference.

4.24. The public defence of the dissertation is carried out via live online broadcast on the Internet. In case of defence of dissertations containing state secrets or information for official use, participation of 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.

4.25. Participation of invited experts from the practical field in the meeting is allowed (if the dissertation is of an applied nature).

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

4.27. When holding a meeting of the Dissertation Council in the form of a videoconference, the following is ensured:

- 1) visual identification of participants in the meeting;
- 2) continuous video and audio broadcasting of the speeches of the meeting participants on the Internet;
- 3) video and audio recording of the meeting;
- 4) secret voting of the members of the dissertation council.

4.28. The Dissertation Council holds a secret voting to decide on one of the following decisions:

- 1) apply to the Committee for the award of a doctoral degree of Doctor of Philosophy (PhD) or Professional Doctorate;
- 2) send the dissertation for revision (only in case of defence of the dissertation in the form of a thesis);
- 3) send the dissertation for re-defence;
- 4) refuse to award the degree of Doctor of Philosophy (PhD) or Professional Doctorate, or to make an application to the Committee for the award of the degree of Doctor of Philosophy (PhD) or Professional Doctorate to a doctoral student.

The dissertation is sent for revision if it contains minor remarks on the text, the amendment 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 honesty) specified in paragraph 5 of the Rules, it is sent for re-defence. 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 Professional Doctorate.

4.29. Members of the Dissertation Council acting as scientific advisors, direct supervisors or closely related to the doctoral student, as well as invited specialists do not participate in the voting.

4.30. Official reviewers, whose votes are equal to the votes of the members of the dissertation council, take part in the secret voting.

4.31. A decision to apply to the Committee for awarding the degree of Doctor of Philosophy (PhD) or Professional Doctorate shall be considered adopted if 3/4 (three quarters) or more of the voting members voted in favour of it. The decision of the Council to refuse to award the degree of Doctor of Philosophy (PhD) or Professional Doctorate, to send the dissertation for revision or for repeated

defence shall be considered adopted if 2/3 (two thirds) or more of the voting members voted in favour of it. If the specified number of votes is not obtained, a second secret voting is held, at which the decision to send the dissertation for revision or re-defence is taken if the majority of the voting members have voted in favour of it.

When making a decision to send for repeated defence or to refuse to award the degree of Doctor of Philosophy (PhD) or Professional Doctorate, the Dissertation Council draws up a conclusion, which reflects what requirements of the present Standard Regulations and the Rules the dissertation does not meet. The repeated defence of the dissertation work shall be held not earlier than 6 (six) months after the previous defence in accordance with the procedure established by the present Standard Regulations. The composition of temporary members of the Dissertation Council and official reviewers is retained. The dissertation is sent for repeated defence not more than 2 (two) times.

When making a decision to send for revision, the Dissertation Council adopts a conclusion containing specific comments on the dissertation work. The revised thesis is submitted to the Dissertation Council within a three-month period, which may be extended for no more than three (3) months. The decision to extend the period of revision is taken by the Dissertation Council on the basis of the doctoral student's application. If the finalised dissertation is not submitted within the established deadline, the doctoral student is subject to repeated defence.

In case of full or partial disagreement of the doctoral student with the remarks of the dissertation council, he/she submits reasoned answers to these remarks.

The finalised thesis is sent to the NCSTE for plagiarism examination. After receiving the certificate of the NCSTE, the Dissertation Council together with the official reviewers holds a meeting to discuss the finalised dissertation work and answers to the remarks (if any) in order to eliminate the remarks of the Dissertation Council.

After discussion, by simple majority vote of secret voting the decision to award the degree or to send for re-defence is taken.

4.32. The academic secretary of the dissertation council forms the attestation file of the doctoral student, which is sent to the Committee within 30 (thirty) calendar days after the defence of the doctoral dissertation at the dissertation council. The following documents shall be attached to the doctoral student's attestation file:

- 1) a cover letter on the letterhead of the University under which the dissertation council was established, signed by the Chairman of the dissertation council, indicating the date of sending the dissertation to the NCSTE (except for dissertations containing state secrets or information for official use).;
- 2) dissertation on an electronic medium. A dissertation containing state secrets or information for official use shall also be submitted in paper format;
- 3) list and copies of scientific publications on the thesis topic;
- 4) copy of identification document;
- 5) certificate of the NCSTE on verification of the dissertation for plagiarism. For a dissertation containing state secrets or information for official use, a certificate of the commission in military, special educational institutions and (or) scientific organisations subordinate to the national security bodies of the Republic of Kazakhstan, the Ministry of Internal Affairs of the Republic of Kazakhstan, the bodies of the Prosecutor's Office of the Republic of Kazakhstan and the Ministry of Defence of the Republic of Kazakhstan on verification of the dissertation for plagiarism shall be presented;

- 6) list of members of the Dissertation Council in the form according to Annex 6 to the present Standard Regulations;
- 7) video recording in full and protocol of the meeting of the dissertation council on the defence of the dissertation and on the discussion of the finalised dissertation work (if necessary), signed by the Chairman and the Academic Secretary;
- 8) copy of the transcript on mastering the professional educational programme of doctoral studies;
- 9) information about the doctoral student in the form according to Annex 7 to this Standard Regulations.

The documents specified in subparagraphs 1), 3), 4), 5), 6), 8) and 9) shall be submitted to the Committee in scanned form in 'pdf' file format (except for attestation files containing state secrets or information for official use).

4.33. A dissertation on which a negative decision of the Committee or the Dissertation Council has been made is submitted for re-defence. When the dissertation is submitted for re-defence, the Dissertation Council appoints three (3) members of the Dissertation Council to draw up a conclusion on the elimination of the violations established earlier in the dissertation. The conclusion is posted on the University's Internet resource at least ten (10) working days before the defence and is read out at the dissertation defence. An appeal against a negative decision of the Dissertation Council shall be submitted by the doctoral student in any form within 2 (two) months from the date of the decision to the University where the dissertation defence was held.

4.34. If an appeal is filed against the decision of the Dissertation Council of the University, the positive decision of the appeal committee and the dissertation are sent to the Committee within 15 (fifteen) calendar days for a final decision. The decision of the Appeal Committee within 5 (five) working days from the date of its adoption shall be communicated to the doctoral student and posted on the University's Internet resource.

4.35. Disputes not settled by the present Standard Regulations, including the issues of refusal to award the degree of Doctor of Philosophy (PhD), Professional Doctorate, restoration of the time limit for filing an appeal shall be resolved in the legal order established by the legislation of the Republic of Kazakhstan.

## **5. CONCLUDING PROVISIONS**

5.1. At the end of the calendar year, the Dissertation Council forms a report on the completed work, which is debriefed and approved by the Academic and Research Council of KAZGUU, as well as submits to the Committee a statistical report on the completed work according to the established form.

## **6. AMENDMENTS**

6.1. Amendments to these Regulations shall be made only by decision of the Academic and Research Council of the University and must be documented with the signature of its Chairman.

6.2. Sheets removed from the amended version of the Regulations shall be kept with the authorisation document for the amendment.

6.3. Amendments to these Regulations shall be introduced by the Secretary of the Dissertation Council with obligatory marking in the 'List of Registration of Amendments'.

6.4. The Secretary of the Dissertation Council is responsible for making amendments to the original and the recorded working copies.

## **7. APPROVAL, STORAGE, DISTRIBUTION**

7.1. The draft of these Regulations shall be considered at the meeting of the Academic and Research Council of the University.

7.2. Distribution of the registered working copies of the Regulations should be carried out by the Secretary of the Dissertation Council.

7.3 The Secretary shall be responsible for storing the registered working copy of the Regulations.