Dissertation Formatting Guidelines

Contents

1. Purpose and Scope

These guidelines define the structure, formatting, and presentation requirements for PhD dissertations in accordance with the national standards of the Republic of Kazakhstan and good international academic practice.

2. Language and Academic Writing Standards

2.1 Language of the Dissertation

- The dissertation must be written in English.
- Students may use British or American English, but must apply one variant consistently throughout the entire text.
- The dissertation must be professionally proofread to ensure clarity, coherence, and correct academic language.

2.2 Improving Academic English

Students are encouraged to consult:

- Springer Nature's free online academic writing tutorials (common mistakes, clarity of expression).
- McCloskey, *Economical Writing* (useful for clarity and precision).
- Thomson, *A Guide for the Young Economist*.
- Economics citation guide (Reed College): https://www.reed.edu/economics/resources/econ_citationguide.pdf.

3. Acceptable Dissertation Formats

You may choose one of two structures (in consultation with your supervisor):

3.1 Classical Monograph Dissertation

A single, unified, extended study consisting of:

- Literature review
- Methodology
- Empirical/theoretical analysis
- Findings and discussion
- Conclusion

3.2 Article-Based Dissertation

Dissertation in the format of a series consisting of at least two articles and one review, or three articles, published in journals included in the first and/or second quartile by impact factor according to the Journal Citation Reports of Clarivate Analytics, in one of the scientific fields corresponding to the content of the dissertation. In one of the articles, the doctoral candidate must be the first author or the corresponding author.

4. Regulatory Basis

Formatting requirements are established by:

- *Instruction on Formatting Dissertations and Dissertation Abstracts* (2004): https://nauka.kz/upload/files/instrukciya.pdf
- Ministry of Education and Science of RK Order No. 127 (2011), *Rules for Awarding Degrees*.

5. Required Structure of the Dissertation

According to national standards, the dissertation must contain the following elements each starting on a new page:

1. Title page
2. Table of contents
3. Normative references (if applicable)
4. Definitions (if needed)
5. Abbreviations and symbols
6. Introduction
7. Main body (divided into chapters, sections, subsections)
8. Conclusion
9. List of references
10. Appendices

Detailed requirements follow.

6. Structural Element Requirements

6.1 Title Page

Must include:

- Name of institution where the research was conducted
- UDC classification number (Universal Decimal Classification)
- Full name of the candidate
- Full title of the dissertation
- Scientific specialty code and name
- Degree sought (PhD)
- Name(s) of academic supervisor(s)
- City and year
- Candidate's handwritten signature

(See sample format in Annex A of the Guidelines)

Universal Decimal Classification Index is determined according to the Guidelines of the National Scientific Portal of the Republic of Kazakhstan: https://nauka.kz/upload/files/55._GOST_7.90-2007.pdf

6.2 Table of Contents

Includes page numbers for:

- All chapters, sections, subsections
- Introduction
- Conclusion
- References
- Appendices

6.3 The Use of AI

At the end of each chapter, a paragraph is required describing the use of artificial intelligence: references to the AI technologies employed, including the name of the technology, its developer (rights holder), version, date of access and use, as well as a description of the prompts through which the results used in the dissertation were obtained.

This includes a description of the stages of the research at which the artificial intelligence technology was applied, how it was used, as well as the methods and procedures employed to verify the reliability of the data obtained through such technology and/or their processing and interpretation. The absence of such information in the dissertation shall be deemed confirmation by the author that no artificial intelligence technologies were used in the preparation of the dissertation.

6.4 Normative References

List any standards or regulations referred to in the dissertation.

6.5 Definitions

Optional. Include only if specialized terms need clarification.

6.6 Abbreviations and Symbols

List all abbreviations, acronyms, symbols, variables, and units used in the dissertation.

6.7 Introduction

Should include:

- Relevance and significance of the research
- Research problem and hypothesis
- Object and subject of study
- Research goal and research questions
- Scientific novelty
- Methodology overview
- Expected academic contribution
- Items submitted for defense

6.8 Main Body

Must present:

1. **Research rationale and methodology**

   - Justification of chosen direction
   - Research design, theoretical framework
   - Description of methods (theoretical, empirical, statistical, econometric)

2. **Research process and results**

   - Data description
   - Analysis and findings
   - Theoretical development or empirical results

3. **Discussion and evaluation**

   - Robustness checks
   - Comparison with existing literature
   - Limitations and future research directions

6.9 Conclusion

Summarize:

- Key results
- Contribution to scholarship
- Practical implications
- Recommendations
- Potential for application or implementation

6.10 References

- Must follow consistent citation style (e.g., Economics citation style or APA/Chicago if approved).
- Listed in the order of appearance in the text according to national standards.
- Maintain correct bibliographic formatting according to GOST or a unified recognized academic style.

6.11 Appendices

Include supplementary materials such as:

- Additional tables, proofs, data
- Survey instruments
- Algorithms, codes, program descriptions
- Experimental protocols

Label appendices with capital letters (A, B, C…) as specified on page 7 of the Instruction document.

7. Formatting and Typography Requirements

7.1 Page Format

- Paper size: A4
- Printed on one side only
- Margins:
    - Left: 30 mm
    - Right: 10 mm
    - Top: 20 mm
    - Bottom: 20 mm

7.2 Font and Spacing

- Main text font: **Times New Roman**, 14 pt
- Line spacing: **1.0** (single spaced)
- Text alignment: justified
- Paragraph indent: recommended 1.25 cm

7.3 Numbering

- Use **Arabic numerals**
- Page numbers center-bottom
- Title page counts as page 1 but **number is not shown**

Numbering hierarchy:

- Chapters: 1, 2, 3…
- Subsections: 1.1, 1.2, 1.3…
- Paragraphs: 1.1.1, 1.1.2, etc.

7.4 Tables and Figures

- Must be placed **after the paragraph where they are first mentioned**
- Must be numbered (e.g., Table 1, Figure 1)
- Table/figure titles should be concise
- All tables and figures must be referenced in the text

7.5 Formulas

- Placed on a separate line
- Leave one blank line above and below
- Number formulas on the right: (1), (2), (3)…
- Explain symbols immediately below the formula

7.6 Citations

- Use **in-text citations** with square brackets according to national rules (e.g., [12], [12, p. 25]).

- Use a consistent internationally recognized format if approved by the supervisor or school.

8. Additional Recommendations for Academic Quality

- Ensure consistency across chapters.
- Use clear academic English; avoid unnecessary jargon.
- Maintain strict coherence between objectives, methods, findings, and conclusions.
- Consult the supervisor regularly about structure (monograph vs. essays).
- Follow ethical guidelines for citation, plagiarism, and data integrity.

9. Useful Resources

- McCloskey — *Economical Writing*
- Thomson — *A Guide for the Young Economist*
- Springer Nature Writing Tutorials
- Economics Citation Guide (Reed College)
- American Economic Association advice on dissertation structure

MAQSUT NARIKBAYEV UNIVERSITY

UDC (Universal Decimal Classification)
On the rights of the manuscript

SURNAME, FIRST NAME, PATRONYMIC

Title of the Dissertation

Code and Name of the Major
(according to the Nomenclature of Scientific Specialties)

Dissertation for the Degree of Doctor of _____ Sciences

Scientific Adviser
(consultant)

Foreign Scientific Consultant

Republic of Kazakhstan,

Astana, Year