

1. General Provisions

1.1. This Regulation on Doctoral Studies (hereinafter – the Regulation) is developed for the purpose of establishing requirements for the organization of the system of doctoral training at JSC “M. Narikbayev KAZGUU University” (hereinafter – the University).

1.2. This Regulation is developed in accordance with the requirements and recommendations of the following documents, as amended:

- Law of the Republic of Kazakhstan “On Education” dated 27 July 2007 No. 319-III;
- Law of the Republic of Kazakhstan “On Science” dated 18 February 2011 No. 407-IV;
- Order of the Minister of Education and Science of the Republic of Kazakhstan “On Approval of the Rules for Awarding Degrees” dated 31 March 2011 No. 127;
- Order of the Minister of Science and Higher Education of the Republic of Kazakhstan “On Approval of the State Compulsory Standards of Higher and Postgraduate Education” dated 20 July 2022 No. 2;
- Order of the Minister of Education and Science of the Republic of Kazakhstan “On Approval of the Model Regulation on the Dissertation Council” dated 31 March 2011 No. 126;
- Order of the Minister of Education and Science of the Republic of Kazakhstan “On Approval of the Model Rules for the Activities of Organizations of Higher and (or) Postgraduate Education” dated 30 October 2018 No. 595;
- Order of the Minister of Education and Science of the Republic of Kazakhstan “On Approval of the Qualification Requirements for Educational Activities of Organizations Providing Higher and (or) Postgraduate Education and the List of Documents Confirming Compliance Therewith” dated 17 June 2015 No. 391.

2. Terms and Definitions

The following terms are used in this Regulation:

European Credit Transfer and Accumulation System (ECTS) – a system for transferring credits earned by a student abroad into credits that are counted towards the student’s degree upon return to their home educational organization, as well as for accumulating credits within educational programmes.

Doctoral student – a person studying in a doctoral programme.

Doctoral studies – postgraduate education, the educational programmes of which are aimed at training personnel for scientific, pedagogical and (or) professional activities, with the award of the degree of Doctor of Philosophy (PhD) (Doctor by Profile) upon completion of at least 180 academic credits.

Doctoral dissertation – a scholarly work of a doctoral student representing an independent research project in which theoretical propositions are developed, the totality of which can be qualified as a new scientific achievement, or a scientific problem is solved, or scientifically substantiated technical, economic or technological solutions are presented.

Doctor by Profile – a degree awarded to persons who have completed a doctoral programme in the corresponding field of professional activity and defended their dissertation in the Republic of

Kazakhstan or abroad, recognized in accordance with the procedure established by the Law of the Republic of Kazakhstan “On Education” (hereinafter – the Law “On Education”).

Doctor of Philosophy (PhD) – a degree awarded to persons who have completed a doctoral programme in a scientific-pedagogical track and defended their dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the procedure established by the Law “On Education”.

Doctor of Business Administration – a degree awarded to persons who have completed a DBA programme.

DBA programme (hereinafter – DBA programme) – a postgraduate educational programme based on project work and applied research in business administration and aimed at training managerial personnel.

Research justification of the dissertation (research proposal) – a document prepared by the doctoral student and approved by the higher education institution in the course of the first or second year of study, which includes the aim, objectives and methodology of the research, a literature review and the expected research outcomes.

Individual curriculum (hereinafter – IC) – a student’s curriculum formed by the student for each academic year with the assistance of an academic advisor (advisor), based on the educational programme and the catalogue of elective courses.

University component (hereinafter – UC) – a list of academic disciplines and corresponding minimum volumes of academic credits determined independently by an organization of higher and (or) postgraduate education (OHPE) for the purposes of mastering the educational programme.

Elective component (hereinafter – EC) – a list of academic disciplines and corresponding minimum volumes of academic credits offered by the higher education institution and independently chosen by students in any academic period, taking into account prerequisites and postrequisites.

Research work – work related to scientific inquiry, conducting research and experiments in order to expand existing knowledge and generate new knowledge, test scientific hypotheses, and identify regularities in the development of nature and society, as well as to provide scientific generalization and scientific substantiation of projects. Research work includes the implementation of the main sections and subsections of the doctoral dissertation, using modern methods of scientific research based on technological achievements of science and practice.

Experimental research work – work that includes the implementation of methodological and practical aspects of the doctoral dissertation, the application of economic-mathematical methods, as well as specific methods of scientific research such as sociological surveys, experiments, observation, etc.

Prerequisites – disciplines and (or) modules and other types of academic work that contain the knowledge, skills, abilities and competences necessary for mastering a given discipline and (or) module.

3. Symbols and Abbreviations

The following symbols and abbreviations are used in this Regulation:

BD – basic disciplines

UC – university component

VSUZ – military and specialized educational institutions

SCES – State Compulsory Educational Standards of the Republic of Kazakhstan (ГOCO)

AAD – Department for Academic Activities

HEI – Higher Education Institution

DC – Dissertation Council

FA – final attestation

IC – individual curriculum

EC – elective component

ISE – International School of Economics

NPO – non-profit joint-stock company

RWD – research work of the doctoral student

OHPE – organization of higher and (or) postgraduate education

EP – educational programme

PD – profile disciplines

PPS – academic staff (professorial-teaching staff)

GPA – grade point average

PhD – Doctor of Philosophy

4. Structure and Content of Educational Programmes

4.1. The theoretical component comprises 45 academic credits in the total volume of the doctoral educational programme and consists of cycles of basic (hereinafter – BD) and profile (hereinafter – PD) disciplines, which include disciplines of the university component (hereinafter – UC) and the elective component (hereinafter – EC), as well as practice.

4.2. The list of UC and EC disciplines is determined independently by ISE. In doing so, the needs of the labour market, employers' expectations, and the needs and interests of doctoral students are taken into account.

As a rule, course and module syllabi are interdisciplinary and multidisciplinary in nature, ensuring the training of personnel at the intersection of several fields of knowledge.

4.3. Doctoral training at ISE is carried out in a scientific-pedagogical track (PhD doctoral studies) based on Master's educational programmes.

4.4. Upon admission, where the profile of the doctoral educational programme coincides with that of the relevant Master's programme, the learning outcomes of the previous level of education are recognized automatically. In case of non-coincidence between the profile of the doctoral educational programme and that of the Master's programme, the doctoral student is assigned prerequisites to be mastered which must cover the main learning outcomes of the profile of the programme at the previous level of education.

When a Master's degree holder of a profile track is admitted to a PhD doctoral programme, the educational programme of the scientific-pedagogical Master's programme in the pedagogical profile is additionally assigned as prerequisites for postgraduate education, except for military and specialized higher education institutions (VSUZ).

The list of required prerequisites and the timeframe for their completion are determined and established independently by the School, depending on the educational programme.

4.5. The International School of Economics of JSC “M. Narikbayev KAZGUU University” provides doctoral training in educational programmes for which the University holds a license for the right to conduct educational activities.

4.6. The educational programme for the preparation of the Doctor of Philosophy (PhD) has a scientific-pedagogical orientation and involves fundamental educational, methodological and research training as well as in-depth study of disciplines in the relevant branches of science for the system of higher and postgraduate education and the scientific sphere.

4.7. The professional component of doctoral educational programmes is developed on the basis of studying the experience of foreign universities and research centres that implement accredited programmes for the training of Doctors of Philosophy (PhD) or Doctors by Profile.

4.8. Training in the doctoral programme is carried out both on the basis of the state educational grant and on a fee-paying (tuition-paying) basis.

4.9. The content of the doctoral educational programme consists of:

- compulsory components, including the study of cycles of basic and profile disciplines – 45 academic credits, which also include teaching practice and research practice;
- research work of the doctoral student, including internship and completion of the doctoral dissertation – 123 academic credits;
- final attestation in the form of writing and defending the doctoral dissertation – 12 academic credits.

4.10. The research component of the doctoral educational programme is formed from the research work of the doctoral student (hereinafter – RWD), scholarly publications, and the writing and defence of the doctoral dissertation.

The volume of the research work of the doctoral student is 123 academic credits in the total volume of the doctoral educational programme.

HEI independently determines the form, place and timing of the organization of the RWD.

4.11. Scientific supervision of doctoral students seeking the degree of Doctor of Philosophy (PhD) is carried out by at least two academic supervisors, one of whom must be a scholar from a foreign higher education institution.

4.12. The doctoral student studies on the basis of an individual work plan drawn up under the guidance of the academic supervisors.

The School independently determines the structure of the individual plan of the doctoral student. The structure of the doctoral student's is provided in Annexes No. 1 and No. 2.

The doctoral student's Individual Plan is drawn up for the entire period of study and includes the following sections:

1. individual curriculum (which may be clarified annually, if necessary);
2. research work (topic, research direction, timeframes and form of reporting);
3. practice (programme, host organization, timeframes and form of reporting);
4. topic of the doctoral dissertation with justification and structure;

5. plan for completing the doctoral dissertation;
6. plan of scholarly publications and internships (including international ones).

The Individual Plan is prepared by the doctoral student together with the academic supervisors, agreed with the persons responsible for postgraduate education and submitted for approval to the Dean of the faculty. After approval, one copy of the IC remains with the student, and copies are provided to the academic supervisors.

The Individual Plan of the doctoral student is signed by the domestic research consultant only after the dissertation topic and the candidacy of the research consultant have been approved by the Scientific Research Committee of the School and the Academic and Research Council of the University.

4.13. The duration of study in the doctoral programme is determined by the volume of academic credits mastered. Upon completion of the established volume of academic credits and achievement of the expected learning outcomes required for the award of the degree of Doctor of Philosophy (PhD) or Doctor by Profile, the doctoral educational programme is considered fully completed.

4.14. Doctoral training at ISE is carried out on the basis of scientific-pedagogical Master's educational programmes, with a duration of study of at least three years.

5. Requirements for the Academic Workload of the Doctoral Student

5.1. The academic workload is measured by the time required for a doctoral student to study a course, a module or the entire doctoral educational programme and necessary for achieving its learning outcomes.

The doctoral student studies on the basis of an individual work plan drawn up under the guidance of academic supervisors.

5.2. ISE independently determines the structure of the doctoral student's individual work plan.

5.3. In determining the academic workload of the doctoral student, it is assumed that the academic year consists of academic periods, the form of which (semester – 15 weeks, trimester – 10 weeks, quarter – 7–8 weeks) is determined by the HEI or research organization, and a period of final attestation (in the graduating year).

5.4. Combined forms of organizing academic periods may be used.

5.5. The full academic workload of one academic year corresponds to 60 academic credits and amounts to 1,800 academic hours per academic year.
One academic credit corresponds to 30 academic hours.

5.6. The academic workload indicated in paragraphs 5.3–5.5 represents a typical academic workload. A doctoral student may master a smaller or larger number of academic credits per semester. For certain categories of doctoral students, depending on the form and technologies of instruction, the actual time required to achieve the learning outcomes may differ and is calculated independently by the School.

5.7. The main criterion for completion of the educational process in the preparation of Doctors of Philosophy (PhD) (Doctors by Profile) is the mastering by the doctoral student of at least 180 academic credits, including all types of learning and research activities.

5.8. In the case of early completion of the doctoral educational programme and successful defence of the dissertation, the doctoral student is awarded the degree of Doctor of Philosophy (PhD) or Doctor by Profile regardless of the nominal duration of study.

6. Organization and Implementation of Professional Practice

6.1. The doctoral educational programme includes teaching and research practice for students enrolled in the PhD programme.

Practice is conducted in order to develop practical skills in scientific, scientific-pedagogical and professional activities.

6.2. During teaching practice, doctoral students are involved in delivering classes in Bachelor's and Master's programmes.

6.3. Research practice of the doctoral student is conducted with the purpose of studying the latest theoretical, methodological and technological achievements of domestic and foreign science, as well as consolidating practical skills, applying modern methods of scientific research, and processing and interpreting experimental data in the dissertation research.

6.4. The content of the research practice is determined by the topic of the doctoral dissertation.

7. Organization of the Doctoral Student's Research Work

7.1. The research component of the doctoral educational programme is formed from the research work of the doctoral student (RWD), scholarly publications, and the writing and defence of the doctoral dissertation.

The volume of the doctoral student's research work is 123 academic credits in the total volume of the doctoral educational programme.

The doctoral dissertation is completed within the period allocated to the RWD. The final result of the RWD is the doctoral dissertation.

The School independently determines the form, place and timing of the organization of the RWD.

7.2. Within the framework of the RWD, the individual work plan of the doctoral student provides, for the purpose of familiarization with innovative technologies and new types of production, for a compulsory internship in research organizations and (or) organizations in relevant sectors or spheres of activity, including abroad.

The School, in coordination with the doctoral student, independently determines the place and timing of the doctoral student's internship; the internship duration is at least 30 calendar days.

The content of the internship programme corresponds to the doctoral student's research profile. The internship programme is approved by the School jointly with the host organization where the internship is conducted.

The internship is undertaken by persons who have preliminary research results and (or) publications on the research topic.

The internship results are reviewed at a School research seminar.

7.3. Requirements for the RWD of a student enrolled in the Doctor of Philosophy (PhD) programme:

1. correspondence to the main problematics of the doctoral educational programme in which the doctoral dissertation is defended;
2. relevance, scientific novelty and practical significance;
3. grounding in modern theoretical, methodological and technological achievements of science and practice;
4. reliance on modern methods of data processing and interpretation using computer technologies;
5. implementation using contemporary methods of scientific research;
6. inclusion of research (methodological, practical) sections on the main defended propositions.

7.4. The outcome of the RWD is a completed doctoral dissertation prepared for defence in the prescribed manner.

7.5. The main results of the doctoral student's research are published in scholarly, scholarly-analytical and scholarly-practical journals in accordance with the Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31 March 2011 No. 127 "On Approval of the Rules for Awarding Degrees," as amended.

8. Reporting and Review of the Doctoral Student's Research Work

8.1 At the end of each semester, the results of the doctoral student's research work are documented by the doctoral student in the following reporting forms: reports, articles, presentations at research seminars, reports [technical/progress reports], computer programs, and prototypes/models.

8.2 Based on the results of the research work performed (actual completion of chapters and sections within the scheduled timeframe, with corresponding notation in the event of delay), the research consultant evaluates the indicators of the completed research work using a points-based rating system.

8.3 Annually, upon completion of the academic year, the doctoral student undergoes academic attestation with respect to the fulfillment of the Individual Study Plan (ISP) and the doctoral student's research work.

The doctoral student's report on the fulfillment of the ISP and the doctoral student's research work is heard and discussed at a meeting of the Scientific Research Committee or at an extended meeting of the International School of Economics (ISE).

The results of the review are formalized in the form of a conclusion, which is reflected in the minutes of the meeting of the Scientific Research Committee/School. An excerpt from the minutes is attached to the doctoral student's report.

On the basis of a positive conclusion (recommendation) of the Scientific Research Committee/School, the doctoral student is transferred to the next year of study by order of the Director of the School.

In addition, the report on the fulfillment of the Individual Study Plan and the doctoral student's research work is prepared by the doctoral student in written form according to the template set out in Annex No. 2 to this Regulation.

8.4 In the event of a negative conclusion by the Scientific Research Committee or the School following the academic attestation, the doctoral student is not transferred to the next year of study.

A doctoral student left to repeat the year of study is entitled to:

- a) continue their studies under the previously approved Individual Study Plan; or
- b) formulate a new Individual Study Plan in the manner established by this Regulation.

A doctoral student who has not been transferred to the next year of study is granted the right to submit, within the established deadline, an application for academic leave or another application in accordance with this Regulation and other internal regulatory documents of the University.

A doctoral student who has not been transferred to the next year of study and who has not submitted an application within the established deadline may, at the discretion of the administration of M. Narikbayev KAZGUU University, be left to repeat the year of study by order of the Provost.

Doctoral students studying under the state educational grant are required to complete the number of credits stipulated by the curriculum of the relevant educational program.

9. Scientific Supervision of the Doctoral Dissertation

9.1. Scientific supervision of the doctoral dissertation is assigned to the doctoral student within two months after enrolment.

9.2. Scientific supervision is approved by an Order of the Provost of the OHPE based on the decision of the Academic and Research Council.

9.3. Scientific supervision of doctoral students seeking the degree of Doctor of Philosophy (PhD) is carried out by at least two academic supervisors, one of whom must be a scholar from a foreign OHPE.

9.4. Academic supervisors ensure the completion of the doctoral dissertation, adherence to the principles of academic integrity, and timely submission of the dissertation for defence.

9.5. Scientific supervision is carried out by a faculty member holding an academic degree and (or) an academic title (Doctor of Philosophy PhD / Doctor by Profile) who is the author:

- in the fields 8D05 “Natural Sciences, Mathematics and Statistics,” 8D06 “Information and Communication Technologies,” 8D07 “Engineering, Manufacturing and Construction Industries,” 8D08 “Agriculture and Bioresources,” 8D09 “Veterinary Medicine,” 8D10 “Healthcare” – of at least two articles in international peer-reviewed scholarly journals included in the 1st, 2nd or 3rd quartile according to Journal Citation Reports (JCR) in the Web of Science Core Collection, or having a CiteScore percentile of at least 35, or an h-index of 2 or more;
- in other fields of study: of at least five scholarly articles published over the past five years in profile journals included in the List of scholarly publications, and at least one scholarly article in an international peer-reviewed scholarly journal with an impact factor according to JCR or indexed in

one of the databases Science Citation Index Expanded, Social Science Citation Index or Arts and Humanities Citation Index in the Web of Science Core Collection, or having a CiteScore percentile of at least 35.

9.6. The doctoral student has the right to petition for the replacement of an academic supervisor. The replacement of academic supervisors is approved by an Order of the Provost based on the decision of the Academic and Research Council.

10. Doctoral Dissertation

10.1. The dissertation is carried out under the supervision of domestic and foreign academic supervisors who hold academic degrees (Candidate of Sciences, Doctor of Sciences, Doctor of Philosophy (PhD), Doctor by Profile) or academic degrees of Doctor of Philosophy (PhD), Doctor by Profile and are specialists in the field of the doctoral student's research.

10.2. The dissertation topic (as of the date of its approval) corresponds to the priority areas of scientific development determined by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with paragraph 3 of Article 20 of the Law of the Republic of Kazakhstan "On Science and Technological Policy" and (or) state programmes (except for dissertations submitted for recognition of the equivalence of academic degrees obtained abroad by citizens of the Republic of Kazakhstan, foreign citizens and stateless persons). The topic of the doctoral dissertation is determined during the first semester and is approved by the decision of the Academic and Research Council. Taking into account the results of the RWD and (or) obtained scientific (experimental) results or repeated approval of the research justification (research proposal), the topic of the doctoral dissertation may be adjusted.

10.3. If the dissertation research includes information for official use or materials containing state secrets as well as trade secrets, the topic and the research are assigned the appropriate security classification in accordance with the legislation.

10.4. Changes to the topic of the doctoral dissertation are approved by an Order of the Provost based on the decision of the Academic and Research Council. To submit a proposal for changing the topic for consideration, the doctoral student must submit an application addressed to the Provost, signed by one or both academic supervisors confirming their approval of the change.

10.5. The content of the dissertation research is aimed at the implementation of national priorities, fundamental or applied research.

10.6. The dissertation is carried out in compliance with the principles of independence, internal coherence, scientific novelty, reliability and practical value, as well as academic integrity.

The principle of independence means that the dissertation is written independently and demonstrates the author's personal contribution to science, technology and technological development. The use of artificial intelligence is permitted for statistical sampling of variable data.

When using artificial intelligence technologies in the preparation of the dissertation, its scientific results, propositions, recommendations and conclusions must be formulated independently by the author.

The principle of internal coherence means that the dissertation possesses internal unity, all sections and propositions of the dissertation are logically interconnected; the scientific propositions, obtained results and recommendations must correspond to the aims and objectives stated in the dissertation. New solutions (principles, methods) proposed by the author are substantiated and evaluated in comparison with known solutions.

The principle of scientific novelty means that the scientific results, propositions, recommendations and conclusions of the dissertation are new, and the dissertation contains:

- new scientifically substantiated theoretical and (or) experimental results, the totality of which is qualified as a new scientific achievement or is of significant importance for the development of specific scientific areas; or
- scientifically substantiated technical, technological, economic or managerial solutions, the implementation of which contributes significantly to the development of the national economy.

The principle of reliability means that the results of the dissertation are obtained using modern methods of scientific research and methods of data processing and interpretation with the use of computer technologies and (or) artificial intelligence technologies (where applicable); for dissertations in natural, technical, medical and agricultural specialties, theoretical conclusions, models, identified relationships and patterns are proven and confirmed by experimental research, and the conclusions drawn from the experiments are reproducible and (or) statistically reliable; for specialties in the group “Education,” the results are proven on the basis of pedagogical experiments (where applicable).

The principle of practical value of the dissertation means that a dissertation of applied significance shall provide information on the practical use of the scientific results obtained by the author, confirmed by authorship certificates, patents, intellectual property certificates, implementation acts and other official documents, and a dissertation of theoretical significance shall provide recommendations for the use of its scientific conclusions.

The principle of academic integrity means respect by the author of the dissertation for the rights and legitimate interests of other authors and the absence of:

- use and (or) appropriation of the text, ideas, hypotheses, conclusions, methods, research results, graphs, codes, images or works of other authors without reference to the author and source, as well as use of others’ texts with synonymic substitution of words and expressions without changing the meaning, including the use of texts translated from another language (plagiarism);
- use of artificial intelligence technologies without referencing them, indicating their name, developer (rightsholder), version and date of use;
- cases of using one’s own texts, factual and numerical data without reference to oneself and (or) to the original source of one’s own citations (self-plagiarism);
- references to non-existent sources, provision of unreliable data and (or) results, records or reports thereof (fabrication);
- manipulation of research materials, equipment, images, illustrations or processes, resulting in distortion of the research materials in the dissertation (falsification).

Coincidence of the titles of normative legal acts and official documents, names of state and other official bodies and organizations, terms, definitions and concepts commonly used in the relevant field of science, texts of normative legal acts, and texts of works under study does not constitute plagiarism if the volume and nature of their use do not cast doubt on the independence of the

dissertation. The use of technical means and methods, including artificial intelligence technologies, for the purpose of reducing or excluding the possibility of detecting plagiarism is not permitted.

When conducting empirical research methods, the use of artificial intelligence with respect to children under the age of 13 is not permitted.

The use of artificial intelligence technologies is not permitted when writing dissertations classified as “for official use” or “secret.”

10.7. The use of artificial intelligence technologies by the author in the preparation of the dissertation is permitted subject to prior approval by the domestic and foreign academic supervisors and the members of the ethics committee of the OHPE where the dissertation was carried out. The authors of the dissertation, academic supervisors and members of the OHPE ethics committee must take into account the real capabilities and consequences of using artificial intelligence in the preparation of the dissertation.

The author of the dissertation complies with the principles specified in paragraph 5 of these Rules, as well as the ethical rules and norms of the OHPE when using artificial intelligence technologies in the dissertation.

The author of the dissertation discloses the use of artificial intelligence technologies by means of an appropriate reference formatted in accordance with paragraph 5 of these Rules and the relevant rules of the OHPE, including a description of the stages of the research and the way in which artificial intelligence was used, as well as a description of the methods used to verify the reliability of the data obtained and (or) their processing and interpretation. The absence of such information in the dissertation constitutes confirmation by the author that artificial intelligence technologies were not used in the dissertation.

The author of the dissertation takes necessary measures to prevent disclosure of restricted-access personal data without the consent of the data subject or his/her legal representative, and of confidential or other legally protected information without the consent of the rightsholder, as well as other violations of the rights and legitimate interests of third parties.

Authors of dissertations adhere to reliable, safe and ethical use of information obtained with the help of artificial intelligence technologies.

OHPE independently develop and approve rules for the use of artificial intelligence technologies in the preparation of dissertations, taking into account the specifics of fields of training at the higher and postgraduate education levels.

10.8. The doctoral dissertation is subject to a plagiarism check, which is carried out by the National Center for State Scientific and Technical Expertise.

10.9. Coincidence of the titles of normative legal acts and official documents, names of state and other official bodies and organizations, terms, definitions and concepts commonly used in the relevant field of science, texts of normative legal acts, and texts of works under study does not constitute plagiarism if the volume and nature of their use do not cast doubt on the independence of the completed dissertation. The use of technical means and methods for the purpose of reducing or excluding the possibility of detecting plagiarism is not permitted.

10.10. If plagiarism is detected in the dissertation, the Dissertation Council or the competent Committee adopts a negative decision without the right to re-defend.

10.11. OHPE independently establish requirements for the formatting of dissertations. ISE permits the use of international citation styles in dissertations, including Harvard style, APA (American Psychological Association) Style, MLA (Modern Language Association) Style, Chicago Style, ACS (American Chemical Society) Style, or others as recommended by academic supervisors. References to the artificial intelligence technologies used must also be included, indicating the name of the technology, the developer (rightsholder), version, date of access and use, as well as a description of the prompts through which the results used in the dissertation were obtained.

The dissertation shall contain references to:

1. sources of cited materials or individual results with full bibliographic details;
2. protection documents (patents, certificates) for developments obtained by the doctoral student individually or in co-authorship;
3. scholarly works on the dissertation topic performed by the doctoral student individually or in co-authorship.

11. Organization and Conduct of Final Attestation

11.1. Final attestation comprises at least 12 academic credits in the total volume of the doctoral educational programme and is conducted in the form of a dissertation or a series of articles, the requirements for which are established by the Rules for Awarding Degrees approved by Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31 March 2011 No. 127 (registered in the State Register of Normative Legal Acts under No. 6951).

11.2. The doctoral dissertation is subject to a plagiarism check carried out by the National Center for State Scientific and Technical Expertise.

11.3. The purpose of the final attestation is to assess the doctoral student's scientific-theoretical and research-analytical level, the formation of professional and managerial competencies, readiness for independent professional activity, and the compliance of his/her preparation with the requirements of the professional standard and the doctoral educational programme.

11.4. Final attestation of doctoral students is conducted in the form of defence of the doctoral dissertation.

11.5. Doctoral students who have fully completed the educational process in accordance with the requirements of the SCES, the educational programme, the working and individual curricula are admitted to final attestation.

11.6. Defence of the doctoral dissertation is carried out in accordance with the Law of the Republic of Kazakhstan dated 18 February 2011 "On Science," the Rules for Awarding Academic Degrees approved by Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31 March 2011 No. 127 (hereinafter – the Rules), the Model Regulation on the Dissertation Council approved by Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31 March 2011 No. 126 (hereinafter – the Model Regulation), as well as the Regulation on the Dissertation Council of JSC "M. Narikbayev KAZGUU University" for the defence of dissertations for the degree of Doctor of Philosophy (PhD) and Doctor by Profile.

11.7. Persons who have completed the doctoral educational programme and defended their doctoral dissertation are awarded, upon a positive decision of the dissertation councils of OHPE with special status or of the Committee for Quality Assurance in Education and Science of the Ministry of Education and Science of the Republic of Kazakhstan, based on the results of the conducted expertise, the degree of Doctor of Philosophy (PhD) or Doctor by Profile and are issued a diploma in accordance with Order of the Minister of Education and Science of the Republic of Kazakhstan dated 31 March 2011 No. 127 “On Approval of the Rules for Awarding Degrees” (registered in the State Register of Normative Legal Acts under No. 6951), together with a supplement (transcript).

11.8. Persons who have obtained the degree of Doctor of Philosophy (PhD) or Doctor by Profile, in order to deepen their scientific knowledge and solve scientific and applied tasks on a specialized topic, undertake a postdoctoral programme or conduct scientific (experimental) research under the supervision of a leading scholar of the selected OHPE or a highly qualified specialist in the relevant sector or sphere of activity.

11.9. A doctoral student who has completed the full course of theoretical training of the doctoral educational programme but has not completed the RWD (or experimental research work) is granted the opportunity to re-master the RWD (experimental research) credits and to defend the dissertation in subsequent years on a fee-paying basis.

11.10. A doctoral student who has completed the full course of theoretical training of the doctoral educational programme and completed the RWD, but has not defended the doctoral dissertation, retains the learning outcomes and academic credits and is granted the opportunity to defend the dissertation within two years after graduation free of charge, and in subsequent years on a fee-paying basis for a volume of at least 4 academic credits.

11.11. After three years from graduation, the doctoral student may defend the dissertation only after repeated approval of the research justification of the dissertation (research proposal) on a fee-paying basis.

11.12. A doctoral student who has not passed final attestation is expelled from the University by order of the Rector as having failed to fulfil the requirements of the educational programme, the working and individual curricula.

11.13. A doctoral student who has completed the full course of theoretical training of the doctoral educational programme but has not completed the RWD is granted the opportunity to re-master the RWD credits and defend the dissertation in subsequent years on a fee-paying basis.

11.14. A doctoral student who has completed the full course of theoretical training of the doctoral educational programme, completed the RWD, but has not defended the doctoral dissertation, retains the learning outcomes and academic credits and is granted the opportunity to defend the dissertation within two years after graduation free of charge, and in subsequent years on a fee-paying basis for a volume of at least 4 academic credits.

11.15. After three years from graduation, the doctoral student may defend the dissertation only after repeated approval of the research justification of the dissertation (research proposal) on a fee-paying basis.

11.16. Other conditions and procedures for expelling a doctoral student are regulated by the Academic Policy of JSC “M. Narikbayev KAZGUU University.”

12. Defence of Doctoral Dissertations

12.1. The dissertation may be presented in one of the following forms:

1. a dissertation (monograph-type) work;
2. 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 Journal Citation Reports of Clarivate Analytics in scientific fields corresponding to the content of the dissertation. In one of the articles, the doctoral student must be the first author or corresponding author. If the requirements of this subparagraph are fulfilled, the requirements of paragraph 13.2 of this Regulation do not apply to the doctoral student.

12.2. If the dissertation is submitted in the form of a dissertation work, the provisions of this paragraph must be observed.

The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD) or Doctor by Profile must be published prior to defence in scholarly journals included in the List of journals recommended for publication of the main results of scholarly activity (hereinafter – List of journals), and (or) in an international peer-reviewed scholarly journal.

An international peer-reviewed scholarly journal has an impact factor according to Journal Citation Reports (JCR) and (or) is indexed in the Web of Science Core Collection database (sections Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index) of Clarivate Analytics, or has a certain CiteScore percentile in the Scopus database in one of the scientific fields corresponding to the content of the dissertation.

Publication requirements for admission to defence:

1. at least one article or review in an international peer-reviewed scholarly journal with an impact factor according to JCR and (or) indexed in the Web of Science Core Collection database (sections Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index), or a CiteScore percentile of at least 25 in the Scopus database, and article(s) in journals from the List of journals (in a number depending on the category of the journal);
2. or at least two articles, or one article and one review in international peer-reviewed scholarly journals indexed in the Web of Science Core Collection database (section Arts and Humanities Citation Index) and (or) included in the first three quartiles by impact factor according to JCR, or having a CiteScore percentile of at least 35 in the Scopus database;
3. or the presence of a chapter in a monograph (of which at least one author's sheet belongs to the doctoral student) published by Elsevier, Brill, CRC Press, De Gruyter, Edward Elgar Publishing, John Wiley & Sons, McGraw Hill, Palgrave Macmillan, Peter Lang, Prentice Hall, Routledge, Sage Publications, Springer Nature, Taylor & Francis, Wolters Kluwer or by a university press of a university in the top-100 of the US News Best Global Universities Rankings, Academic Ranking of World Universities or Times Higher Education World University Rankings (hereinafter – trusted publisher);
4. or at least one article in an international peer-reviewed scholarly journal with an impact factor according to JCR in the first two quartiles or a CiteScore percentile of at least 35 in

the Scopus database and one conference paper in the proceedings of an international scientific conference with an impact factor according to JCR and indexed in the Web of Science Core Collection database.

Publications in international peer-reviewed scholarly journals and conference proceedings must correspond to the content of the dissertation and to the thematic focus of the journal and conference as stated in the respective databases, be published on the official journal website, and have the type Article, Review, Article in Press, Conference Paper, Proceedings. Publications in international peer-reviewed multidisciplinary or interdisciplinary journals (Multidisciplinary, Interdisciplinary, General, Miscellaneous) are permitted.

If there is one scientific article in a journal included in the first quartile by impact factor according to JCR, no additional publications are required.

The journal's quartile in the Web of Science Core Collection and (or) the CiteScore percentile in Scopus is taken into account for the year of publication or the year preceding the year of publication, or as of the date of defence of the dissertation.

In the case of dissertations containing state secrets or information for official use, the main results of the dissertation must be published in at least seven publications on the dissertation topic, including at least four articles in scholarly journals included in the List of journals.

For persons who defended dissertations abroad, scholarly works (including at least one article in an international peer-reviewed scholarly journal) published on the topic of the dissertation or the corresponding scientific field prior to the submission of the attestation file to the Committee shall be taken into account. Articles in foreign periodical scholarly journals shall be counted as articles in journals from the List of journals.

If there are scientific articles in international peer-reviewed scholarly journals in accordance with paragraph 6 of the Rules, one article in such a journal counts as two articles in journals recommended by the authorized body.

Articles from the List of journals must comply with the "Requirements for Scholarly Journals for their Inclusion in the List of Journals Recommended for Publication of Results of Scientific Activity," approved by Order of the Minister of Education and Science of the Republic of Kazakhstan dated 12 January 2016 No. 20 (registered in the State Register of Normative Legal Acts under No. 13409).

The number of articles in journals from the List of journals is taken into account depending on the journal's category in List 1, 2 or 3.

If the journal is included in List 1, the presence of one article is sufficient; in List 2 – two articles; in List 3 – three articles.

12.3. Defence of doctoral dissertations is carried out at a meeting of the Dissertation Council. The work of the Dissertation Council is regulated by the Regulation on the Dissertation Council of JSC "M. Narikbayev KAZGUU University."

12.4. Dissertations submitted for the degree of Doctor of Philosophy (PhD) or Doctor by Profile must undergo a pre-defence at an extended meeting of the graduating department and a plagiarism check at the National Center for State Scientific and Technical Expertise (<https://www.ncste.kz/>).

12.5. Defence of the doctoral dissertation is carried out subject to the availability of:

- positive references from the academic supervisors;
- publications in accordance with paragraph 12.2 of this Regulation or in accordance with the Rules for Awarding Degrees approved by Order of the Minister of Education and Science of the Republic of Kazakhstan “On Approval of the Rules for Awarding Degrees” dated 31 March 2011 No. 127, as amended;
- a decision recommending the dissertation for defence (extract from the minutes of the extended meeting of the Research Committee or the ISE academic staff meeting);
- two reviews by two official reviewers whose qualifications (academic degree or title) correspond to the profile of the dissertation, providing a comprehensive assessment of the dissertation and a reasoned conclusion on the possibility of awarding the degree of Doctor of Philosophy (PhD) or Doctor by Profile in the relevant speciality;
- a conclusion of the University Ethics Committee where the doctoral student studied, confirming the absence of violations in the planning, evaluation, selection, conduct and dissemination of research results, including the protection of the rights, safety and well-being of research subjects.

12.6. If the academic supervisors and/or the expert commission issue a negative conclusion “not to be admitted to defence” or “not recommended for defence,” the doctoral student is not admitted to the defence of the doctoral dissertation.

Annex 1: INDIVIDUAL PLAN OF A DOCTORAL STUDENT

"Approved"
Dean of International School of Economics:

(Full Name, Signature, Date)

INDIVIDUAL PLAN OF A DOCTORAL STUDENT

Full Name of Doctoral Student: _____

Educational Program:

Period of Doctoral Studies (Years 1–3): _____

Supervisor (Degree, Position, Name): _____

Foreign Consultant (Degree, Position, Name): _____

Topic of Doctoral Dissertation: _____

Deadline for Submission: _____

2. DISSERTATION FRAMEWORK (fixed for the full period of study)

This section is completed once, at enrollment, and remains unchanged for the full 3-year period unless the topic itself is formally revised.

Relevance of Research: _____

Research Aim: _____

Research Objectives: _____

Research Object: _____

Research Subject: _____

Research Methods: _____

Theoretical and Practical Significance: _____

Research Novelty: _____

Stages of Work (overview across Years 1–3): _____

Expected Results: _____

YEAR 1 — INDIVIDUAL PLAN (Semesters 1–2)

1.1 Internships/Practicum

Type of Practicum	Semester	Credits	Practicum Base (Name & Location)	Final Control Form

1.2 Research Work of the PhD Doctoral Student (НИРД)

Type of Work includes and is not limited to: submission of research articles; presentation at conferences; presentation at research seminars; participation in round tables and forums.

№	Type of Work	Timeline (Semester)	Reporting Form / Supervisor's Signature

1.3 Plan of Publications

№	Content of Publications	Timeline / Expected Result

1.4 Plan of Foreign Internships

№	Internship Location	Dates	Expected Result

Approval — Year 1

Approved by the Scientific Supervisor and the Dean of International School of Economics

Date: _____

Scientific Supervisor: _____ (Signature)

Dean of International School of Economics: _____ (Signature)

Doctoral Student: _____ (Signature)

YEAR 2 — INDIVIDUAL PLAN (Semesters 3–4)

2.1 Internships/Practicum

Type of Practicum	Semester	Credits	Practicum Base (Name & Location)	Final Control Form

2.2 Research Work of the PhD Doctoral Student (НИРД)

Type of Work includes and is not limited to: submission of research articles; presentation at conferences; presentation at research seminars; participation in round tables and forums.

№	Type of Work	Timeline (Semester)	Reporting Form / Supervisor's Signature

2.3 Plan of Publications

№	Content of Publications	Timeline / Expected Result

2.4 Plan of Foreign Internships

№	Internship Location	Dates	Expected Result

Approval — Year 2

Approved by the Scientific Supervisor and the Dean of International School of Economics

Date: _____

Scientific Supervisor: _____ (Signature)

Dean of International School of Economics: _____ (Signature)

Doctoral Student: _____ (Signature)

YEAR 3 — INDIVIDUAL PLAN (Semesters 5–6)

3.1 Internships/Practicum

Type of Practicum	Semester	Credits	Practicum Base (Name & Location)	Final Control Form

3.2 Research Work of the PhD Doctoral Student (НИРД)

Type of Work includes and is not limited to: submission of research articles; presentation at conferences; presentation at research seminars; participation in round tables and forums.

№	Type of Work	Timeline (Semester)	Reporting Form / Supervisor's Signature

3.3 Plan of Publications

№	Content of Publications	Timeline / Expected Result

3.4 Plan of Foreign Internships

№	Internship Location	Dates	Expected Result

Approval — Year 3

Approved by the Scientific Supervisor and the Dean of International School of Economics

Date: _____

Scientific Supervisor: _____ (Signature)

Dean of International School of Economics: _____ (Signature)

Doctoral Student: _____ (Signature)

FINAL PUBLIC DEFENCE

Defence of Doctoral Dissertation (Period): _____

Doctoral Student: _____ (Signature)

Postgraduate Education Manager: _____ (Signature)

ANNUAL REPORT OF A DOCTORAL STUDENT

This report covers one (1) year of study only. A separate instance of this document is completed and submitted at the end of each academic year, reporting on the corresponding Year block of the Individual Plan.

Full Name of Doctoral Student: _____

Educational Program: _____

Reporting Period — Year of Study (Year 1 / Year 2 / Year 3): _____

Academic Year: _____

Supervisor (Degree, Position, Name): _____

Foreign Consultant (Degree, Position, Name): _____

Topic of Doctoral Dissertation: _____

Topic and supervisor approved per Individual Plan, Section 2: School's Committee for Scientific Research Protocol № ____ dated ____;
University Scientific Committee Protocol № ____ dated ____.

1. INTERNSHIPS/PRACTICUM — COMPLETION REPORT

Type of Practicum	Semester	Credits (Plan)	Credits (Completed)	Practicum Base (Name & Location)	Final Control Form / Result	Confirming Document

2. RESEARCH WORK OF THE PhD DOCTORAL STUDENT — COMPLETION REPORT

2.1 Engagement in Research Activities, Publications, and Academic Events

Nº	Type of Work (per Individual Plan)	Timeline (Semester, per Plan)	Status (Completed / In Progress / Not Completed)	Result / Output	Supervisor's Signature

Note: Attach confirming documents (certificates of participation, copies of published/accepted articles, conference programs, etc.) as annexes to this report.

2.2 PhD Doctoral Dissertation — Progress Report

Stage of Dissertation Work Completed During the Reporting Year: _____

Results Obtained (theoretical / empirical / methodological): _____

Deviations from the Individual Plan, if any, and Justification: _____

Plan for the Next Year of Study / Readiness for Public Defence (if final year): _____

3. PLAN OF PUBLICATIONS — COMPLETION REPORT

Nº	Publication (per Plan)	Actual Output / Journal, Issue, Pages	Status (Published / Accepted / Submitted / Not Completed)	Confirming Document

4. PLAN OF FOREIGN INTERNSHIPS — COMPLETION REPORT

Nº	Internship Location	Dates (Plan)	Dates (Actual)	Results / Confirming Document

DECLARATION BY THE DOCTORAL STUDENT

I confirm that the information provided in this report (Sections 1–4 above) accurately reflects the work performed during the reporting year.

Doctoral Student: _____ (Signature) Date: _____

SUPERVISOR'S OPINION ON THE DOCTORAL STUDENT'S PERFORMANCE

Recommendation: ☐ Transfer to the next year of study ☐ Proceed to pre-defence review / public defence (if final year) ☐ Leave for a repeat course ☐ Other (specify): _____

Scientific Supervisor: _____ (Signature) Date: _____

DECISION OF THE SCIENTIFIC RESEARCH COMMITTEE

Protocol №: _____

Date: _____

Conclusion: ☐ Individual Plan / completed — transfer to the next year of study / proceed to public defence (if final year)

☐ Individual Plan / not completed — leave on repeat course / other decision (specify):

Chair of the Committee: _____ (Signature)

Note: An excerpt from the minutes of the Committee/School meeting is to be attached to this report.