

**MINISTRY OF SCIENCE AND HIGHER EDUCATION
OF THE REPUBLIC OF KAZAKHSTAN**

Aktobe Regional University named after K. Zhubanov

APPROVED

Chairman of the Board - Rector of
Aktobe Regional University
named after K. Zhubanov

_____ L.Karabassova
" ____ " _____ 2024

DISSERTATION COUNCIL REGULATIONS

Aktobe, 2024

DEVELOPED AND SUBMITTED " ____ " _____ 2024

– Director of the Department of Science and Innovation _____ **E.Zh. Shabanov**

APPROVED AND PUT INTO EFFECT

By the Rector of Aktobe Regional University named after K. Zhubanov based on the decision of the Academic Council (protocol No. ____ dated « ____ » _____ 202__)
« ____ » _____ 202__

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1. General Provisions

These regulations are developed in accordance with the following normative documents:

- ✓ Model Regulation on the Dissertation Council dated March 31, 2011, No. 126 (as amended on March 9, 2021);
- ✓ Law of the Republic of Kazakhstan dated July 27, 2007, "On Education";
- ✓ Model Rules for Admission to Educational Institutions Implementing Postgraduate Education Programs dated October 31, 2018, Order No. 600 (as amended on June 8, 2020, Order No. 237).

The Regulation is developed in accordance with the Model Regulation 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, taking into account the State Mandatory Standard of Postgraduate Education, approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated October 31, 2018, No. 604, as well as the Rules for Awarding Degrees (hereinafter referred to as the Rules), approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011, No. 127.

Organization of Dissertation Councils

2.1 Dissertation councils are established for 3 (three) calendar years, provided that the university has a state educational order for the relevant specialties (areas of personnel training) in doctoral studies.

2.2 Proposals for the establishment of a dissertation council are considered by the Committee for Quality Assurance in Education and Science of the Ministry of Science and Higher Education of the Republic of Kazakhstan (hereinafter referred to as the Committee) within 30 (thirty) working days from the date of receipt of the following documents:

1. Cover letter;
2. Information on the availability of educational programs in the Register of Educational Programs;
3. Information on the availability of a state educational order for the relevant area of doctoral studies;
4. Information on candidates for members of the dissertation council in the form according to Appendix 1 to this Regulation;
5. Certificate of accreditation of the doctoral educational program.

The Committee's decision on the organization of the dissertation council is published on the Committee's internet resource within 5 (five) working days from the date of its adoption.

2.3 The dissertation council consists of at least 6 (six) persons with an academic degree (Candidate of Sciences, Doctor of Sciences, Doctor of Philosophy (PhD), Doctor by Profile) or an academic degree of Doctor of Philosophy (PhD), Doctor by Profile, or a degree of Doctor of Philosophy (PhD), Doctor by Profile, of which at least half of the members of the dissertation council are representatives of other universities, scientific and (or) other organizations.

In the composition of the dissertation council, 50% (fifty) of the members are permanent, including the chairman, deputy chairman, and academic secretary.

In the composition of the dissertation council, 50% (fifty) of the members are appointed temporarily for the period of the doctoral candidate's defense, depending on the topic of the doctoral research. Temporary members of the dissertation council are not appointed as scientific advisors or persons affiliated with the doctoral candidate or their scientific advisor:

1. Close relatives — parents, children, adoptive parents, adopted children, siblings, grandparents, grandchildren, spouses, or in-laws;
2. Employees of organizations with which the doctoral candidate or scientific advisor has employment or other relations involving the receipt of financial or other resources;
3. Co-authors of articles and reviews published jointly within the last 3 (three) years.

2.4 The following persons are not included in the dissertation council:

1. The rector of the university under which the dissertation council is established;
2. Employees of the Ministry of Science and Higher Education of the Republic of Kazakhstan;
3. Specialists who were scientific advisors or supervisors of dissertations defended in the Republic of Kazakhstan or abroad, which received a negative decision from the Committee in the last 5 (five) years.

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

1. For areas of personnel training 8D05 Natural Sciences, Mathematics and Statistics, 8D06 Information and Communication Technologies, 8D07 Engineering, Manufacturing and Construction Industries, 8D11 Services — at least 3 (three) publications in journals included in

the first three quartiles according to Journal Citation Reports (JCR) by Clarivate Analytics or having a CiteScore percentile in the Scopus database of at least 35 (thirty-five) in at least one of the scientific fields corresponding to the areas of personnel training;

2. For other areas of personnel training — at least 2 (two) publications in the last 5 (five) years in journals included in the first three quartiles according to Journal Citation Reports (JCR) by Clarivate Analytics or having a CiteScore percentile in the Scopus database of at least 35 (thirty-five) in at least one of the scientific fields corresponding to the area of personnel training;
3. For areas of training 8D01 Pedagogical Sciences, 8D02 Arts and Humanities, in the case of a doctoral candidate who does not have an article in an international peer-reviewed journal according to paragraph 6 of the Rules for Awarding Degrees, approved by the 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 Normative Legal Acts under No. 6951), at least 1 (one) foreign scientist with an oral review of the doctoral candidate's dissertation work, whose main place of work is a university ranked in the top 200 of the international rankings Academic Ranking of World Universities (ARWU) or Times Higher Education World University Rankings (THE) or US News Best Global Universities Rankings, or who has published at least 2 (two) articles and/or reviews in journals indexed in the Web of Science Core Collection (sections Arts and Humanities Citation Index, Social Sciences Citation Index) in the last 5 years.

2.6 The composition, as well as changes in the composition of the dissertation council, are approved by the rector's order based on the decision of the Academic Council of the university. The decision of the Academic Council of the university is made based on the decision of the Committee.

The dissertation council elects from among its members the chairman, deputy chairman, and academic secretary of the council.

The permanent composition and changes to it, as well as the chairman, deputy chairman, and academic secretary of the council, are approved by the rector's order based on the decision of the Academic Council of the university.

2.7 All expenses (travel expenses of members of the dissertation council: per diem, accommodation, railway tickets, air tickets for foreign and domestic members of the dissertation council) related to the activities of the dissertation council are reimbursed by the university in

which the dissertation council operates. The budget for transport expenses and accommodation expenses must additionally include the amount of taxes levied on university funds in accordance with the tax legislation of the Republic of Kazakhstan. The university ensures the verification of dissertations in licensed plagiarism detection systems, including international databases.

Functions of the Dissertation Council

3.1 Functions of the dissertation council:

1. Acceptance of documents for dissertation defense;
2. Appointment of the defense date and official reviewers for the dissertation work;
3. Creation of a commission from among the members of the dissertation council (hereinafter referred to as the Dissertation Council Commission) to check the dissertation for the use of borrowed material without reference to the author and source of borrowing (plagiarism);
4. Conducting a public defense of the doctoral dissertation;
5. Making a decision on the dissertation.

3.2 Members of the dissertation council:

1. Provide objective, complete, and reliable information;
2. Do not conceal data related to the dissertation defense;
3. Respond to violations of scientific ethics;
4. When making decisions, 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 course of their activities, do not use rude, offensive expressions, accusations that harm the honor and dignity of other members of the council, doctoral candidates, scientific advisors, and official reviewers.

In case of violations of the requirements specified in this paragraph, a member of the dissertation council is excluded from its composition.

3.3 At the end of the calendar year, the dissertation council submits a report on the work of the dissertation council to the Committee in the form (Appendix 2).

3.4 The dissertation council conducts the defense of a dissertation presented by a doctoral candidate in the form of a dissertation work or a series of articles published by the doctoral

candidate in accordance with the requirements of paragraph 5-1 of the Rules for Awarding Degrees, approved by the 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 Normative Legal Acts under No. 6951) (hereinafter referred to as the Rules).

3.5 Before accepting documents for defense, the university where the doctoral candidate studied conducts a preliminary discussion of the dissertation at an extended meeting of the department or the academic council of the structural unit of the university (hereinafter referred to as the extended meeting). The university is not allowed to require the doctoral candidate to undergo other forms of dissertation discussion after the extended meeting.

3.6 One (1) month before the extended meeting, the dissertation is sent for review to 2 (two) specialists with an academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy (PhD), Doctor by Profile) or an academic degree of Doctor of Philosophy (PhD), Doctor by Profile, or a degree of Doctor of Philosophy (PhD), Doctor by Profile in the field of the doctoral candidate's research.

3.7 At the extended meeting, at least 2/3 (two-thirds) of the department members, reviewers, members of the academic or academic council of the structural unit, scientific advisors, as well as representatives of related (related) departments and (or) structural units of the university, scientific and other organizations, and practitioners (for dissertations of an applied nature) participate.

3.8 In the absence of consultants, their reviews of the doctoral candidate's dissertation are read out at the meeting by the head of the department or structural unit of the university, or his/her deputy.

3.9 After receiving a positive conclusion from the extended meeting, the doctoral candidate submits an application to the rector of the university to choose the dissertation council in which he/she will defend. If the doctoral candidate indicates a dissertation council of another university, then within 10 (ten) working days, the university where the doctoral candidate studied sends his/her documents to the dissertation council.

3.10 The following documents are submitted to the dissertation council:

1. Reviews of domestic and foreign scientific consultants, certified at the place of work of the consultant. The translation of the review of the foreign consultant must be notarized. For dissertations containing state secrets, a review of the domestic consultant;
2. A positive conclusion from the extended meeting;
3. A dissertation in hardcover and on electronic media (if the dissertation is defended in the form of a dissertation work);
4. A list of scientific works and their copies (Appendix 3);
5. A conclusion from the Ethical Commission of the university where the doctoral candidate 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 well-being of research subjects (objects of wildlife and habitat).

The dissertation is submitted in Kazakh, Russian, or English.

3.11 The registration of the documents specified in this paragraph is carried out by the academic secretary of the dissertation council, and within no more than 2 (two) working days, they are submitted to the dissertation council.

3.12 At the meeting of the dissertation council on the acceptance of the dissertation for defense, the permanent composition of the council appoints temporary members of the dissertation council.

3.13 No later than 10 (ten) working days from the date of acceptance of the documents, the dissertation council determines the date of the defense and appoints two official reviewers with an academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy (PhD), Doctor by Profile) or an academic degree of Doctor of Philosophy (PhD), Doctor by Profile or a degree of Doctor of Philosophy (PhD), Doctor by Profile and at least 5 (five) scientific articles in the field of the doctoral candidate's research.

3.14 The defense date does not exceed more than 3 (three) months from the date of appointment of the defense date. When appointing the defense date, the order of receipt of documents from doctoral candidates is observed.

3.15 When appointing official reviewers, the dissertation council is guided by the principle of independence of reviewers and scientific consultants from each other.

The following are not appointed as official reviewers:

1. Employees of the Committee;
2. Co-authors of the doctoral candidate on works published on the topic of the dissertation;
3. Heads and employees of structural units of the university and (or) scientific organization where the dissertation was performed and (or) research work is being carried out, in which the doctoral candidate is the customer or executor (co-executor);
4. Specialists who were scientific advisors or official reviewers who provided a positive conclusion on dissertations that received a negative decision from the Committee on the content of the dissertation in the last 3 (three) years.

3.16 The dissertation council posts the following materials on the university's internet resource about the defenses of doctoral candidates and the activities of the council (except for materials and dissertations containing state secrets or for official use):

1. Notice of the upcoming defense with information about the doctoral candidate, temporary members of the dissertation council, and official reviewers, the form of presentation of the dissertation, address, date, and time (1 (one) month before the established defense date, available on a permanent basis);
2. The dissertation (1 (one) month before the established defense date), as well as all its versions revised according to the comments of the dissertation council with appropriate marks on the title page (available on a permanent basis);
3. An abstract in Kazakh, Russian, and English with a total volume of no more than 15 pages (1 (one) month before the established defense date). 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) submitted for defense, a description of the main research results, justification of the novelty and importance of the results obtained, compliance with the directions of development of science or state programs, a description of the doctoral candidate's contribution to the preparation of each publication;
4. A list of the doctoral candidate's publications (1 (one) month before the established defense date);
5. Reviews of scientific consultants (1 (one) month before the established defense date), which are available for at least 5 (five) months after the defense;
6. Reviews of official reviewers (5 (five) working days before the established defense date);
7. A video recording of the defense in full, editing is not allowed (posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);

8. The conclusion of the dissertation council on sending the dissertation work for revision, re-defense, or refusal to award the degree of Doctor of Philosophy (PhD), Doctor by Profile (posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);
9. The decision of the appeal commission (if any, posted within 5 (five) working days from the date of the decision and available for at least 5 (five) months after the decision);
10. A report on the work of the dissertation council according to (posted within 15 (fifteen) working days after the end of the calendar year);
11. A quarterly report on the decisions made by dissertation councils on the award (refusal to award) degrees of Doctor of Philosophy (PhD), Doctor by Profile.

The quarterly report is posted within 5 (five) working days after the end of the quarter and is available during the period of the dissertation council's activity;

12) Announcements about changes in the date, time, place of the defense, and replacement of official reviewers (if any);

13) Information about the composition of the dissertation council and the procedure for the activities of the dissertation council;

14) Information about the availability of a licensed plagiarism detection system, including international databases, indicating the validity period;

15) A conclusion from the Ethical Commission of the university (in the form according to Appendix 4 to this Regulation), where the doctoral candidate 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 well-being of research subjects (objects of wildlife and habitat);

16) Information on the organization of the dissertation council meeting online in the form of a video conference.

3.17 After posting the dissertation work on the university's internet resource and/or accepting it for defense (in the case of defending dissertations containing state secrets or for official use), changes to it are not allowed. If the dissertation work is revised, its final version is posted on the university's internet resource after the decision to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile with the note "Final version of the dissertation work."

The university's internet resource provides the opportunity to post unofficial reviews on the content of the dissertation with their further presentation at the defense. Unofficial reviews for

which it is impossible to establish authorship and there is no email address of the author are not presented at the defense.

3.18 The notice of the upcoming defense is sent by the dissertation council to the Committee within 5 (five) working days from the date of acceptance for defense.

The notice of defenses in dissertation councils at universities is also posted on the Committee's internet resource within 5 (five) working days from the date of receipt (except for materials and dissertations containing state secrets or for official use).

3.19 Within 10 (ten) working days after acceptance for defense, the dissertation council sends the dissertation for plagiarism checking in domestic and international databases to the Joint Stock Company "National Center for State Scientific and Technical Expertise" (hereinafter referred to as the NCSTE). The title page and list of used sources are not checked for plagiarism. The NCSTE ensures the placement of the dissertation text in open access on its internet resource within 10 (ten) working days from the date of receipt. The dissertation is available on a permanent basis.

3.20 A copy of the dissertation on paper and/or electronic media is transferred to the university library. Within 7 (seven) working days after the defense, copies of the dissertation on electronic media are 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 for official use).

3.21 Official reviewers, based on the study of the dissertation and published works, submit written reviews to the dissertation council in the form according to Appendix 5 to this Regulation.

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

3.23 In the reviews, official reviewers indicate one of the following decisions:

1. Award the degree of Doctor of Philosophy (PhD) or Doctor by Profile (in the case of defense in a dissertation council at a university with a special status) or petition the Committee to award the

- doctoral candidate the degree of Doctor of Philosophy (PhD) or Doctor by Profile (in the case of defense in a dissertation council at a university without a special status);
2. Send the dissertation for revision (except for cases of defending a dissertation in the form of a series of articles);
 3. Refuse to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile.

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

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

3.25 If there are facts of plagiarism indicated in the NCSTE certificate, in the reviews of official reviewers, and unofficial reviews on the university's internet resource, the Dissertation Council Commission checks the dissertation for plagiarism. The conclusion on the results of the check is submitted to the dissertation council no later than 8 (eight) working days before the defense of the dissertation.

3.26 The dissertation council, based on the conclusion of the Dissertation Council Commission (no later than 7 (seven) working days before the defense), makes a decision on admitting the doctoral candidate to the defense or removing the dissertation from the defense. The dissertation council informs the doctoral candidate of the decision within 2 (two) working days, and the corresponding information is posted on the university's internet resource (except for cases of defending dissertations containing state secrets and for official use).

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

3.27 The chairman, deputy chairman, and academic secretary of the dissertation council cannot perform their duties at the meeting of the dissertation council when considering the dissertation of a doctoral candidate for whom they are scientific advisors. The duties of the chairman of the dissertation council are assigned to the deputy chairman, and the duties of the deputy chairman and academic secretary are assigned to the members by the decision of the dissertation council.

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

The dissertation council ensures a video recording of the defense of the dissertation in full, editing is not allowed.

3.28 A meeting of the dissertation council is considered valid if at least 2/3 (two-thirds) of its members participate in its work. Participation in the meeting of official reviewers and temporary members of the dissertation council is mandatory.

Members of the dissertation council and official reviewers are allowed to participate in the defense in the form of a video conference.

3.29 The public defense of the dissertation is conducted in the mode of a live online broadcast on the Internet. In the case of defending dissertations containing state secrets or 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.

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

3.31 The dissertation council informs the doctoral candidate, members of the dissertation council, and official reviewers about the holding of the dissertation council meeting in the form of a video conference no later than 5 (five) working days before the defense of the dissertation via email and announcement on the council's website.

When holding a meeting of the dissertation council in the form of a video conference, the following is ensured:

- Visual identification of the meeting participants;
- Continuous video and audio broadcast of the participants' speeches on the Internet;
- Video and audio recording of the meeting;
- Secret voting by the members of the dissertation council.

3.32 The dissertation council conducts a secret vote to make one of the following decisions:

1. Award the degree of Doctor of Philosophy (PhD) or Doctor by Profile (in the case of defense in a dissertation council at a university with a special status) or petition the Committee to award the doctoral candidate the degree of Doctor of Philosophy (PhD) or Doctor by Profile (in the case of defense in a dissertation council at a university without a special status);

2. Send the dissertation for revision (only in the case of defending a dissertation in the form of a dissertation work);
3. Send the dissertation for re-defense;
4. Refuse to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile or to petition the Committee to award the doctoral candidate the degree of Doctor of Philosophy (PhD) or Doctor by Profile (in the case of defense in a dissertation council at a university without a special status).

3.33 The dissertation work is sent for revision if there are minor comments on the text, the correction of which does not change the essence of the work. If the dissertation does not comply with the Rules for Awarding Degrees and (or) partially complies with the principles (except for the principle of academic honesty) of independence, internal unity, scientific novelty, reliability, and practical value and academic honesty, it is sent for re-defense. If the principle of academic honesty is violated or the principles of scientific novelty, internal unity, or reliability are not met, a decision is made to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile.

3.34 Members of the dissertation council who are scientific advisors, immediate supervisors, or close relatives of the doctoral candidate, as well as invited specialists, do not participate in the voting.

Official reviewers participate in the secret voting, and their votes are equal to the votes of the members of the dissertation council.

The council's decision to award (or petition the Committee to award) the degree of Doctor of Philosophy (PhD) or Doctor by Profile is considered adopted if at least $\frac{3}{4}$ (three-quarters) of the persons participating in the voting voted for it.

The council's decision to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile, to send the dissertation for revision, or for re-defense is considered adopted if at least $\frac{2}{3}$ (two-thirds) of the persons participating in the voting voted for it. If the specified number of votes is not collected, a repeat secret vote is held, at which a decision is made to send the dissertation for revision or re-defense if the majority of the persons participating in the voting voted for it.

3.35 When making a decision to send for re-defense or to refuse to award the degree of Doctor of Philosophy (PhD) or Doctor by Profile, the dissertation council draws up a conclusion that reflects which requirements of this Model Regulation and the Rules the dissertation does not meet.

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

3.36 When making a decision to send for revision, the dissertation council adopts a conclusion containing specific comments on the dissertation work.

The revised dissertation work is submitted to the dissertation council within a three-month period, which can be extended for no more than 3 (three) months. The decision to extend the revision period is made by the dissertation council based on the doctoral candidate's application. If the revised dissertation work is not submitted within the established time frame, the doctoral candidate undergoes re-defense.

In case of complete or partial disagreement of the doctoral candidate with the comments of the dissertation council, he/she provides reasoned answers to these comments.

The revised dissertation work is sent to the NCSTE for plagiarism checking. After receiving the NCSTE certificate, the dissertation council, together with the official reviewers, holds a meeting to discuss the revised dissertation work and answers to the comments (if any) on the elimination of the comments of the dissertation council. The meeting is held in the manner established in paragraphs 3.28-3.32 of this Regulation. In this case, a video recording of the meeting is made without online broadcasting on the Internet.

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

3.37 The academic secretary of the dissertation council forms the doctoral candidate's certification file, which is sent to the Committee within 30 (thirty) calendar days after the defense of the doctoral dissertation at the dissertation council. The doctoral candidate's certification file includes the following documents:

1. Cover letter-petition on the letterhead of the university under which the dissertation council is created, 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 for official use);
2. The dissertation on electronic media. A dissertation containing state secrets or for official use is also submitted on paper;
3. A list and copies of scientific publications on the topic of the dissertation;
4. A copy of the identity document;
5. NCSTE certificate on checking the dissertation for plagiarism. For a dissertation containing state secrets or for official use, a certificate from the commission in military, special educational institutions and (or) scientific organizations subordinate to the national security bodies of the Republic of Kazakhstan, the Ministry of Internal Affairs of the Republic of Kazakhstan, the prosecutor's office of the Republic of Kazakhstan, and the Ministry of Defense of the Republic of Kazakhstan on checking the dissertation for plagiarism is submitted;
6. Attendance sheet of the members of the dissertation council in the form according to Appendix 6 to this Model Regulation;
7. A video recording in full and the minutes of the dissertation council meeting on the defense of the dissertation and on the discussion of the revised dissertation work (if necessary), signed by the chairman and academic secretary;
8. A copy of the transcript on mastering the professional educational program of doctoral studies;
9. Information about the doctoral candidate in the form according to Appendix 7 to this Model Regulation.

The documents specified in subparagraphs 1), 3), 4), 5), 6), 8), and 9) are submitted to the Committee in scanned form in PDF file format (except for certification files containing state secrets or for official use).

3.38 A dissertation for which a negative decision was made by the Committee or the dissertation council is submitted for re-defense.

When submitting a dissertation for re-defense, the dissertation council appoints 3 (three) members of the dissertation council who draw up a conclusion on the elimination of violations previously identified in the dissertation. The conclusion is posted on the university's internet resource no less than 10 (ten) working days before the defense and is read out at the defense of the dissertation.

3.39 An appeal against a negative decision of the dissertation council is submitted by the doctoral candidate in any form within 2 (two) months from the date of the decision to the university where the dissertation defense was conducted.

The procedure for conducting an appeal is approved by the university independently.

3.40 If an appeal is filed against the decision of the dissertation council, then the positive conclusion of the appeal commission and the dissertation are sent to the Committee within 15 (fifteen) calendar days for a final decision. The decision of the appeal commission is communicated to the doctoral candidate within 5 (five) working days from the date of its adoption and is posted on the university's internet resource.

3.41 Disputes not regulated by this Model Regulation, including issues of refusal to award the degree of Doctor of Philosophy (PhD), Doctor by Profile, restoration of the appeal filing period, are resolved in court in accordance with the legislation of the Republic of Kazakhstan.

Agreed

Vice-Rector for Science and Innovation Beknazarov R.A.

Director of the Legal Department Alimanova L.B.

Director of the Department of Documentation Support Yesenalina L.S.

Appendix 1

No.	Full Name (if available) (in state, Russian, or English)	Degree, Academic Title	Main Place of Work	Citizenship	Hirsch Index (according to Web of Science or Scopus)	Publications in International Peer-Reviewed Journals, Included in the First Three Quartiles According to Journal Citation Reports or Having a CiteScore Percentile in Scopus of at Least 35	Publications in Journals from the List of Recommended Publications
1							

Appendix 2

Report on the Work of the Dissertation Council

Dissertation council at