NJSC «K. Zhubanov Aktobe Regional University»

"APPI	ROVED"
Chairman of the	e Board – Rector
of Aktobe Region	onal University
named after K.	Zhubanov,
	L.Ch. Karabasova
« »	2022 г.

REGULATION ON THE DOCTORAL DISSERTATION

Internal Use Edition

Preface

1. DEVELOPMENT OF THIS REGULATION
Director of the Department of Science and Innovations Zhanturina N.N.
APPROVED AND ENTERED INTO FORCE
By the Chairman of the Board-Rector of Aktobe Regional University named after K
Zhubanov, based on the decision of the Academic Council (Protocol No dated
"" 2022)
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IMPLEMENTED: Replaces Version 2.0

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1. General Provisions

- **1.1** In its content, the doctoral dissertation is a scientific work by a doctoral student, representing an independent research project in which theoretical propositions are developed and constitute a new scientific achievement, solve a scientific problem, or present scientifically grounded technical, economic, or technological solutions.
- **1.2** The doctoral dissertation reflects the doctoral student's level of professional qualification and mastery of scientific research methodology, in accordance with the State Compulsory Educational Standard (SCES RK) of the respective educational program.
- 1.3 Doctoral supervision is carried out by a faculty member holding a scientific degree of Candidate of Sciences, Doctor of Sciences, Doctor of Philosophy (PhD), or Doctor in Profile, with at least three years of academic experience, and who is the author of:
 - For training areas 8D05 "Natural Sciences, Mathematics and Statistics," 8D06 "Information and Communication Technologies," 8D07 "Engineering, Manufacturing and Construction," 8D08 "Agriculture and Bioresources," 8D09 "Veterinary Medicine," 8D10 "Healthcare" at least 2 articles published in international peer-reviewed scientific journals ranked in Q1, Q2, or Q3 of the *Journal Citation Reports (JCR)* in the *Web of Science Core Collection*, or having a CiteScore percentile of at least 35 in the *Scopus* database, or with an h-index of 2 or higher;
 - For other training areas at least 5 articles in journals listed in the national List of Recommended Scientific Publications and 1 article in an international peer-reviewed journal indexed in *JCR* or in the *Web of Science Core Collection* (Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index) or having a CiteScore percentile of at least 35 in *Scopus*.

Foreign academic consultants for doctoral students in the fields of "Education Sciences," "Arts and Humanities," "Business and Management" must have an h-index of at least 2; in the fields of "Natural Sciences, Mathematics and Statistics," "Engineering and Manufacturing" — an h-index of at least 6.

- 1.4 Academic consultants for doctoral students are reviewed by the university's Academic Council and approved by the university or research organization's rector within 2 months of admission.
- **1.5** The dissertation should not exceed 150 pages. For the humanities, it may be up to 25% longer. Appendices are not included in this page limit.
- **1.6** The doctoral dissertation serves as the basis for awarding the academic degree of Doctor of Philosophy (PhD) or Doctor in Profile in the relevant educational program.
 - **1.7** The doctoral dissertation must meet the following requirements:
 - Contain new, scientifically grounded theoretical and/or experimental results that solve a theoretical or practical problem or represent a major advancement in the relevant scientific field:
 - Align with the main problematics of the specialty for which the dissertation is defended;
 - Be relevant, scientifically novel, and practically significant;
 - Be based on current theoretical, methodological, and technological advances in science, engineering, and industry;
 - Include concrete practical recommendations or independent solutions to complex, cross-functional management problems;
 - Employ modern data processing and interpretation methods using computer technologies;
 - Be conducted using contemporary scientific research methods and advanced information technologies;
 - Include scientific/experimental-methodological or practical sections on the key defended theses:
 - Be based on leading international experience in the respective field of knowledge.
- **1.8** Dissertation topics are developed by the graduating department and approved by the Academic Council of the university or research organization.

- **1.9** The dissertation topic is assigned to the doctoral student during the first semester after enrollment, by decision of the Academic Council and approval by rector's order.
- **1.10** The dissertation topic with justification and structure, the dissertation work schedule with deadlines, and the plan for publications and internships (if applicable) are included in the individual doctoral work plan.
 - **1.11** The dissertation may be submitted in one of the following forms:
 - 1. A dissertation monograph;
 - 2. A series of at least two articles and one review published in journals ranked in Q1 and/or Q2 according to *Journal Citation Reports (JCR)* by *Clarivate Analytics*. In one of the articles, the doctoral student must be the first author or corresponding author.

The main scientific results of the dissertation must be published before the defense in journals listed in the National List of Recommended Scientific Publications and/or in international peer-reviewed scientific journals.

Articles in international peer-reviewed journals are counted based on the training area:

- For 8D05, 8D06, 8D07, 8D08, 8D09, 8D10, and 8D11 articles must be published in journals ranked by *JCR* or having a CiteScore percentile in *Scopus*;
- For other fields articles must have an impact factor according to *JCR* or be indexed in the *Web of Science Core Collection* (AHCI, SSCI, SCI-E) or in *Scopus* with the appropriate CiteScore percentile.

If one article is published in a JCR-indexed journal or one with CiteScore \geq 25 in Scopus, then three additional articles in national journals from the List are required.

If two articles are published — one with CiteScore \geq 25 and another in JCR Q1–Q3 or CiteScore \geq 50 — then no publications in the national list are required.

If one article is in JCR Q1, no additional publications are required.

Articles must correspond to the subject matter of the dissertation and be published in current journal issues. The journal must have a valid impact factor or CiteScore percentile at the time of publication or dissertation defense.

If the number of international publications exceeds the required minimum, excess articles may be counted as national list publications.

Foreign patents indexed in Web of Science by Clarivate Analytics are also counted as international publications.

For dissertations containing state secrets or restricted information, at least 7 publications are required, including 4 in journals from the national list.

2. Structure of the Dissertation

The structural elements of the dissertation are as follows:

- Title page;
- Table of contents;
- Normative references;
- Definitions:
- Symbols and abbreviations;
- Introduction;
- Main body;
- Conclusion:
- List of references:
- Appendices.

3. Requirements for the Structural Elements of the Dissertation

3.1 Title Page

3.1.1 The title page is the first page of the dissertation and serves as a source of information

necessary for the processing and retrieval of the document.

3.1.2 The title page must include the following information:

- Name of the institution where the dissertation was prepared;
- Universal Decimal Classification (UDC) index;
- Restriction marking (if required);
- Full name of the doctoral candidate:
- Dissertation title:
- Code and title of the educational program (according to the Classifier of Higher and Postgraduate Educational Programs of the Republic of Kazakhstan);
- Desired academic degree;
- Names and initials of academic advisors/consultants;
- Place and year of submission.

The title page is included in the general pagination of the dissertation, but the page number is not displayed on it.

It must be formatted according to **Appendix A**.

The doctoral candidate's **personal signature in black ink** is required on the title page.

3.2 Table of Contents

3.2.1 The table of contents includes the introduction, sequential numbers and titles of all sections, subsections, and points (if titled), the conclusion, list of references, and names of appendices with page numbers indicating where each element begins.

3.3 Normative References

- **3.3.1** This section contains a list of standards referenced in the dissertation.
- **3.3.2** It begins with: "The following standards are referenced in this dissertation."
- **3.3.3** Standards are listed in ascending order by registration number.

3.4 Definitions

- **3.4.1** This section provides definitions necessary to clarify or establish the terms used in the dissertation.
- **3.4.2** It begins with: "The following terms and corresponding definitions are used in this dissertation."

3.5 Symbols and Abbreviations

- **3.5.1** This section contains a list of all symbols and abbreviations used in the dissertation.
- **3.5.2** They may be listed in the order they appear in the text or alphabetically, with appropriate explanations and definitions.
- **3.5.3** It is permissible to combine definitions, symbols, and abbreviations into one section titled: "Definitions, Symbols, and Abbreviations."

3.6 Introduction

The introduction should include:

- An assessment of the current state of the scientific or scientific-technological problem being addressed;
- Rationale and source data for the development of the topic;
- Justification for conducting the research;
- Information on the anticipated scientific and technical level, patent research, and resulting conclusions;
- Information on metrological support.

It should demonstrate the relevance and novelty of the topic, its relation to other research, and present the objectives, object and subject, tasks of the research, its place within broader scientific efforts, the methodological foundation, and the main theses submitted for defense.

3.7 Main Body

3.7.1 This section presents the essence, methodology, and main results of the research.

3.7.2 It must include:

- Justification of the research direction, methods used, their comparative assessment, and the general methodology applied;
- Definition of goals, object, subject, and research tasks;
- The process of theoretical and/or experimental research, including calculations, necessity of experiments, functioning principles, and characteristics of developed objects;
- Summary and evaluation of results, completeness of the task's solution, suggestions for further work, reliability assessment, and comparison with domestic and international studies.

Each section must end with conclusions and lead logically to the next section. The presentation must be consistent, logical, and scientifically sound. Spelling, grammar, and punctuation errors are not acceptable. The writing style must be formal and academic; emotional judgments, colloquialisms, and literary expressions are not allowed.

3.8 Conclusion

The conclusion must contain:

- Brief conclusions based on the dissertation research;
- Assessment of task completion;
- Recommendations and data for practical implementation;
- Evaluation of the technical and economic efficiency of implementation;
- Assessment of the scientific level compared with best practices in the field.

3.9 List of References

This section includes all sources cited in the dissertation. It must be formatted according to **Appendix B**.

3.10 Appendices

- **3.10.1** Appendices should include materials relevant to the dissertation that are not suitable for inclusion in the main text. These may include:
 - Intermediate mathematical proofs, formulas, and calculations;
 - Tables of supplementary data;
 - Test protocols;
 - Descriptions of equipment and instruments used;
 - Methodologies, algorithms, and computer programs;
 - Supplementary illustrations (photos);
 - Minutes from scientific-technical councils reviewing the dissertation;
 - Implementation certificates and other documentation.

• 4. Dissertation Formatting Rules

• 4.1 General Requirements

- 4.1.1 The dissertation text and formatting must comply with the requirements of these Regulations. All pages of the dissertation, including illustrations and tables, must conform to A4 paper size.
- 4.1.2 The dissertation must be typed using a computer and printed on one side of standard white A4 paper, with 1.5 line spacing. The font color must be black, and the font used must be Times New Roman, regular style, size 14.

The following page margins must be observed: Left -30 mm; Right -10 mm; Top -20 mm; Bottom -20 mm,

It is permissible to use typographic tools to emphasize specific terms, formulas, or theorems (e.g., using bold or italicized fonts).

4.1.3 The quality of printed text, illustrations, tables, and computer-generated outputs must ensure clear reproduction.

- 4.1.4 The text must maintain consistent density, contrast, and clarity throughout the entire dissertation. Lines, letters, numbers, and symbols must appear sharp and well-defined.
- 4.1.5 Names of individuals, institutions, products, and other proper nouns must be given in their original language.

Transliteration and translated versions of proper names may be provided, with the original name indicated in parentheses upon first mention.

4.2 Structure of the Dissertation

- 4.2.1 The names of the dissertation's structural elements "Table of Contents," "Normative References," "Definitions," "Symbols and Abbreviations," "Introduction," "Conclusion," "List of References," and "Appendices" serve as section headings and must be formatted in bold font.
- 4.2.2 The main body of the dissertation must be divided into chapters, sections, and paragraphs. Where necessary, paragraphs may be subdivided into subparagraphs. Each paragraph should contain a complete thought.
- 4.2.3 Chapters and sections must have descriptive headings. Paragraphs generally do not. Headings must clearly and concisely reflect the content of the respective section or subsection.
- 4.2.4 Headings of chapters, sections, and paragraphs should begin with an indented line, using a capital letter, without a period at the end and without underlining. If a heading consists of two sentences, they must be separated by a period.

4.3 Pagination

- 4.3.1 Pages must be numbered with Arabic numerals, maintaining continuous pagination throughout the entire dissertation. The page number must appear centered at the bottom of the page, without a period.
- 4.3.2 The title page is included in the total page count, but the page number is not displayed on the title page.
- 4.3.3 Illustrations and tables placed on separate pages must also be included in the total page count.

A sheet of A3 format with illustrations or tables is counted as one page.

4.4 Numbering of Sections, Subsections, Paragraphs, and Subparagraphs

- 4.4.1 Sections of the dissertation must be numbered sequentially throughout the entire document using Arabic numerals without a period, starting from a paragraph indent. Subsections should be numbered within each section. The number of a subsection consists of the section number and the subsection number, separated by a period. A period is not placed at the end. Both sections and subsections may consist of one or several paragraphs.
- 4.4.2 If the dissertation does not include subsections, then paragraphs are numbered within each section, and the number consists of the section and paragraph numbers separated by a period. No period is placed at the end.

Example:

- 1 Types and Basic Dimensions
- 1.1
- 1.2 Numbering of paragraphs in Section 1
- 1.3
- 2 Technical Requirements
- 2.1
- 2.2 Numbering of paragraphs in Section 2
- 2.3

If the dissertation includes subsections, then paragraph numbering must follow the subsection and use the format: section.subsection.paragraph.

Example:

- **3 Testing Methods**
- 3.1 Equipment, Materials, and Reagents
- 3.1.1
- 3.1.2 Numbering of paragraphs in Subsection 3.1
- 3.1.3
- 3.2 Preparation for Testing
- 3.2.1
- 3.2.2 Numbering of paragraphs in Subsection 3.2
- 3.2.3
- **4.4.3** If a section contains only one subsection, the subsection is not numbered. If a subsection contains only one paragraph, the paragraph is not numbered.
- **4.4.4** If the text is divided only into paragraphs, they are numbered sequentially throughout the entire dissertation.
- **4.4.5** If needed, paragraphs may be divided into subparagraphs. Subparagraphs are numbered within each paragraph, e.g., 4.2.1.1, 4.2.1.2, etc.
 - **4.4.6** Enumerations may be used within paragraphs or subparagraphs.

Each item in an enumeration should be marked with a dash or, if references are needed, with a lowercase letter (excluding ë, 3, й, 0, ч, ь, ы, ъ), followed by a parenthesis.

For deeper levels of enumeration, use Arabic numerals followed by a parenthesis and indent as shown in the example below:

Example:

CSS

КопироватьРедактировать

- a)
- b)
 - 1) _____
 - 2) _____
- -/ ____
- **4.4.7** If the dissertation consists of two or more parts, each part must have its own sequential number. The number should be indicated on the title page under the title of the dissertation type, for example: "Part 2".
 - **4.4.8** Each structural element of the dissertation must start on a new page.
 - **4.4.9** Page numbering of the dissertation and its appendices must be continuous.

• 4.5 Illustrations

4.5.1 Illustrations (drawings, maps, graphs, diagrams, computer printouts, charts, photographs) must be placed in the dissertation immediately following the first mention in the text or on the next page.

Illustrations may be computer-generated and may be in color.

All illustrations must be referenced in the text.

4.5.2 Drawings, graphs, diagrams, and illustrations must conform to the standards of the Unified System for Design Documentation (ESKD).

Use of computer-generated images is allowed.

- **4.5.3** Illustrations, excluding those in appendices, must be numbered **continuously** using Arabic numerals. The word "Figure" and its title must be **centered on the line**.
 - **4.5.4** If needed, illustrations may include a title and explanatory caption.

In this case, the word "Figure" and the title are placed after the caption, for example:

Figure 1 – Device components

4.5.5 If an illustration spans multiple pages, the number and title are placed on the **first page**, with the label "sheet 1"; subsequent pages are labeled with the figure number and sheet number only.

Example:

Figure 1 – Device components, sheet 1

Figure 1, sheet 2

4.5.6 It is permitted to number illustrations within each section. In that case, the figure number consists of the section number and the illustration number, separated by a period.

Example: Figure 1.1

4.5.7 Illustrations in each appendix are numbered separately using Arabic numerals, with the appendix letter prefixing the number.

Example: Figure A.3

Illustrations must be formatted in accordance with Appendix C.

- **4.5.8** When referencing illustrations in the text, use:
- "...as shown in Figure 2" for continuous numbering,
- "...as shown in Figure 1.2" for sectional numbering.

4.6 Tables

- 4.6.1 Tables are used for better visualization and ease of comparison of indicators. The title of the table must accurately and concisely reflect its content. The title should be placed above the table, left-aligned, on the same line as the table number, separated by a dash.
- 4.6.2 The table should be placed in the dissertation immediately after the text where it is first mentioned or on the next page.
- 4.6.3 All tables must be referenced in the dissertation. When referring to a table, the word "table" and its number should be specified.
- 4.6.4 A table with a large number of rows may be continued on the next page. In this case, the word "Table", its number, and title are indicated only once—above the first part of the table. The subsequent parts should be marked with "Continuation of Table X", where X is the table number. The title should only appear above the first part.

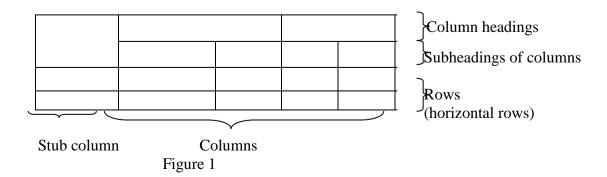
If the table has many columns, it is permissible to divide it into parts and place one under another on a single page. If the rows or columns exceed the page format, then in the first case, the table header is repeated on each page, and in the second, the stub column is repeated.

If the same word is repeated in different rows of a column, it may be replaced with quotation marks after its first appearance. If the repeated text consists of two or more words, the first repetition may be replaced by "Same," and further repetitions with quotation marks. Quotation marks are not permitted for numbers, symbols, or units. If no data is available in a cell, a dash is inserted.

The "No." column may be used where necessary; otherwise, it is omitted.

4.6.5 Numerical data is generally formatted in tables. An example of table formatting is shown in Figure 1.

Table – Title of the table



4.6.6 Tables, except those in the appendices, should be numbered using Arabic numerals in continuous order throughout the dissertation. It is permissible to number tables within each section. In this case, the table number should include the section number and table number, separated by a dot (e.g., Table 2.1).

Tables in appendices are numbered separately using Arabic numerals preceded by the appendix designation (e.g., Table A.1 for Appendix A).

- 4.6.7 Column and row headings should be written with capital letters in the singular. Subheadings are written with lowercase letters if they are part of the heading or with capital letters if they are standalone. Periods are not used at the end of headings and subheadings.
- 4.6.8 Tables should be bordered on the left, right, and bottom with lines. A smaller font size than the main text may be used in tables.

Diagonal lines separating headings and subheadings are not allowed. Horizontal and vertical lines within the table may be omitted if their absence does not affect the readability of the table.

Headings of columns should be written parallel to the table rows. If necessary, vertical orientation is allowed.

The table header should be separated from the rest of the table with a horizontal line. An example of table formatting is provided in Appendix D.

4.7 Notes

- **4.7.1** The word "*Note*" should be printed with a capital letter, starting with a paragraph indent, and should not be underlined.
- **4.7.2** Notes are included in the dissertation when explanatory or reference information related to the content of the text, tables, or graphical material is necessary.

Notes must not contain mandatory requirements.

4.7.3 Notes should be placed directly after the textual, graphical material, or within the table to which they refer.

If there is only one note, a dash is placed after the word "Note", and the note is written starting with a capital letter. A single note is not numbered.

If there are several notes, they should be numbered sequentially using Arabic numerals without a period.

A note to a table is placed at the end of the table, above the line that indicates the table's end.

Example (single note):

Note – Subscript inscriptions must not be printed.

Example (multiple notes):

Notes

- 1 Subscript inscriptions must not be printed;
- 2 Documents must be certified by a notary;
- 3 Approved by the head of the organization.
 - **4.7.4** If additional clarification is required, the note may be formatted as a footnote.

The footnote marker should be placed immediately after the word, number, symbol, or sentence to which the clarification applies.

The footnote marker is a superscript Arabic numeral in parentheses. Asterisks (*) may be used instead of numbers.

The footnote itself is placed at the bottom of the page, indented from the left margin and separated from the main text by a short horizontal line.

A footnote to a table is placed at the end of the table, above the line that indicates the end of the table.

4.8 Formulas and Equations

4.8.1 Formulas and equations must be separated from the main text and written in a new line. There must be at least one blank line above and below each formula or equation.

If an equation does not fit on one line, it should be continued after the equals sign (=), or after other mathematical operators such as plus (+), minus (-), multiplication (\times) , division (:), etc.

In such cases, the operator should be repeated at the beginning of the next line.

When breaking a formula at the multiplication operator, the symbol "x" should be used.

- 4.8.2 Explanations of symbols and numerical coefficients must be provided immediately below the formula, in the same order in which they appear in the formula.
- 4.8.3 Formulas in the dissertation must be numbered sequentially using Arabic numerals enclosed in parentheses, aligned to the far right on the same line as the formula. *Example:*

$$A=a:b,$$
 (1)
$$B=c:e.$$
 (2)

- **4.8.2** Formulas included in appendices must be numbered separately using Arabic numerals within each appendix. The formula number should be prefixed by the appendix designation, for example, formula (B.1).
- **4.8.3** References to formulas in the text must be enclosed in parentheses. *Example:* "... as shown in formula (1)".
- **4.8.4** It is permitted to number formulas within each section. In this case, the formula number should consist of the section number and the formula's serial number, separated by a dot, for example, (3.1).
- **4.8.5** The rules for presenting mathematical equations in the dissertation are the same as those for formulas.

4.9 References

- **4.9.1** The dissertation may contain references to these Guidelines, standards, technical specifications, and other documents, provided that they clearly and unambiguously define the respective requirements and do not hinder the understanding or usability of the document.
- **4.9.2** References should be made to the document as a whole or to its sections and appendices, as well as to tables and illustrations. References to subsections and paragraphs are not permitted, except for those in these Guidelines.
- **4.9.3** When citing standards and technical specifications, only their designations should be provided. The year of approval may be omitted if the standard is fully described in the list of references.
- **4.9.4** References to sources used should be enclosed in square brackets. The numbering of references should be sequential based on the order of their appearance in the text, regardless of the section structure.
- **4.9.5** If a single source is cited multiple times, include the reference number and the corresponding page number in square brackets.

Example: [3, p. 45]

- **4.9.6** References to the author's own publications are mandatory.
- **4.9.7** References to online sources must include the full URL of the source.

4.10 Definitions, Symbols, and Abbreviations

The list of definitions, symbols, and abbreviations must be arranged in a column format. On the left side, either in order of appearance in the text or in alphabetical order, include the abbreviations, symbols, notation, units of physical quantities, and terms; on the right side, provide their full explanations.

4.11 List of References

The reference list should include information about all sources cited in the dissertation. Sources must be listed in the order of their appearance in the text and numbered with Arabic numerals (without a period) starting from a new paragraph (indented).

4.12 Appendices

4.12.1 Appendices should be formatted as a continuation of the dissertation on subsequent

pages.

- **4.12.2** All appendices referenced in the dissertation must be cited in the main text. Appendices should appear in the order in which they are referenced.
- **4.12.3** Each appendix must start on a new page. The word "Appendix" and its designation should be centered at the top of the page. Each appendix must have a title written on a separate line, aligned symmetrically to the text, and capitalized.
- **4.12.4** Appendices are labeled using capital letters of the Russian alphabet, starting from "A", excluding the letters Ё, З, Й, О, Ч, Ь, Ы, Ъ. After the word "Appendix", the corresponding letter indicating its sequence is placed.

It is allowed to use capital Latin letters to designate appendices, excluding "I" and "O". If all letters of both the Russian and Latin alphabets are used, Arabic numerals may be applied to designate further appendices.

If the document contains only one appendix, it is designated as "Appendix A".

- **4.12.5** The content of each appendix may, if necessary, be divided into sections, subsections, paragraphs, and subparagraphs, numbered within the respective appendix. The designation of the appendix must precede the number.
- **4.12.6** The pages of the appendices must follow the same continuous pagination as the main body of the dissertation.

APPROVED BY:

Vice-Rector for Academic Affairs

L.N. Myasnikova

Vice-Rector for Science and Innovation

R.A. Beknazarov

Title Page of the Dissertation

Name of the institution where the dissertation was completed

-

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LAST NAME, FIRST NAME Title of the Dissertation

Code and Title of the Educational Program (as per the Classifier of Higher and Postgraduate Education Programs of the Republic of Kazakhstan)

Dissertation submitted for the degree of Doctor of Philosophy (PhD), Doctor of Profile

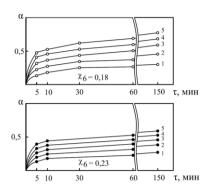
Scientific Supervisor Full Name, Academic Degree, Academic Title

List of References

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APPENDIX C

Example of Figure Formatting



1 - 600°C; 2 - 650°C; 2 - 700°C;

3 - 700°C; 4 - 750°C; 5 - 800°C.

Figure 1 – Kinetics of the interaction of iron phosphide with soda at various temperatures

Example of Table Formatting

Table 1 – Distribution of CSP (cytochemical staining parameters) of individual leukocyte types

Cell Types	Control		CSP, Da	y 7
	Winter	Summer	Winter	Summer
Neutrophils	0,93	0,87	0,91	1,09
Eosinophils	1,30	2,46	0,75	1,46
Monocytes	1,07	1,54	0,79	1,14
Lymphocytes	1,01	1,03	1,04	0,93