

**MINISTRY OF SCIENCE AND HIGHER EDUCATION  
REPUBLIC OF KAZAKHSTAN  
NAO "Aktobe Regional University named after K. Zhubanov"**

**APPROVING**

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

\_\_\_\_\_L.Karabasova

"\_\_" \_\_\_\_\_2025

**REGULATION ON THE DISSERTATION COUNCIL**

**Aktobe, 2025**

**DEVELOPED AND SUBMITTED** «\_\_» \_\_\_\_\_ 2025 г.

- Director of the Department of Science and Innovations \_\_\_\_\_ Z.Nugayeva

**APPROVED AND ENACTED**

by the Rector of K. Zhubanov Aktobe Regional University on the basis of the decision of the Academic Council (Minutes No \_\_ of «\_\_» \_\_\_\_\_ 2025.)

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## **1. GENERAL PROVISIONS**

1.1. The present regulation is developed in accordance with the following normative documents:

- ✓ The Law of the Republic of Kazakhstan dated July 27, 2007 “On Education”;
- ✓ The Model Regulation on the Dissertation Council approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 126 dated March 31, 2011 (as amended on March 9, 2021 No. 98, as well as by the Orders of the Minister of Science and Higher Education of the Republic of Kazakhstan dated June 14, 2024 No. 294, August 29, 2024 No. 425, and August 20, 2025 No. 421);
- ✓ The Rules for Awarding Degrees approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 127 dated March 31, 2011;
- ✓ Order of the Chairperson of the Committee for Quality Assurance in the Sphere of Science and Higher Education of the Ministry of Science and Higher Education of the Republic of Kazakhstan No. 305 “On the Establishment of Dissertation Councils in Universities Without Special Status” dated March 4, 2025;
- ✓ The State Compulsory Standard of Postgraduate Education approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 2 dated July 20, 2022;
- ✓ The Model Rules for Admission to Education in Organizations Implementing Postgraduate Education Programs approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 600 dated October 31, 2018 (as amended on June 8, 2020 No. 237).

1.2. The following concepts are used in this regulation:

- 1) dissertation councils – collegial bodies at organizations of higher and/or postgraduate education (hereinafter – OHPE) that conduct the defense of dissertation work of doctoral students;
- 2) Doctor of Philosophy (PhD), Doctor of Profile – degrees awarded to individuals who have completed the doctoral program in a scientific-pedagogical direction or the corresponding field of professional activity and defended their dissertation in the Republic of Kazakhstan or abroad, recognized in accordance with the legislation of the Republic of Kazakhstan.

## **2. ORGANIZATION OF ACTIVITIES OF DISSERTATION COUNCILS**

2.1 Dissertation councils are established for a period of three (3) calendar years, provided that the higher education institution has a state educational order for relevant doctoral specialties (training areas).

2.2 A proposal to establish a dissertation council in a higher and/or postgraduate education organization (OHPE) is reviewed by the Committee for Quality Assurance in the Sphere of Science and Higher Education of the Ministry of Science and Higher Education of the Republic of Kazakhstan (hereinafter – the Committee) within thirty (30) working days from the date of receipt of the following documents:

- 1) a cover letter;
- 2) information on the availability of educational programs in the Registry of Postgraduate Education Programs for the last three (3) years;
- 3) information on the availability of a state educational order for the corresponding doctoral training area;
- 4) information on candidates for membership in the dissertation council, in the form provided in Annex 1 to this Regulation;
- 5) a copy of a document confirming the availability of a licensed plagiarism detection system, including access to international databases, specifying its validity period;

6) information on the doctoral educational program accredited for a period of at least three (3) years and included in the Registry of Accredited Educational Programs of Organizations of Higher and Postgraduate Education.

The application for the establishment of a joint dissertation council with a research organization is submitted by the partner OHPE. The Committee's decision on the establishment of a dissertation council is published on the Committee's web resource within five (5) working days from the date of its adoption.

2.3 The dissertation council consists of no more than seven (7) members who hold an academic degree (Candidate of Sciences, Doctor of Sciences, Doctor of Philosophy (PhD), Doctor of Profile) or an academic degree of Doctor of Philosophy (PhD) or Doctor of Profile. At least three (3) members of the dissertation council must be representatives of other universities, research and/or other organizations.

The dissertation council includes four (4) permanent members, including the chairperson, deputy chairperson, and academic secretary.

Three (3) members of the dissertation council are appointed temporarily for the period of the doctoral student's defense, depending on the topic of the doctoral research.

For the fields of education 8D01 Pedagogical Sciences and 8D02 Arts and Humanities, if the doctoral student does not have an article in an international peer-reviewed publication in accordance with paragraph 6 of the Rules for Awarding Degrees approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 127 dated March 31, 2011 (registered in the Register of State Registration of Regulatory Legal Acts under No. 6951), one (1) foreign scholar is included in the temporary composition of the dissertation council, with submission of a review of the doctoral dissertation. A foreign scholar must meet one of the following requirements:

1) the scholar's primary place of work is a university ranked in the top 500 of the Academic Ranking of World Universities (ARWU), Times Higher Education World University Rankings (THE), or US News Best Global Universities Rankings;

2) the scholar has at least two (2) articles and/or reviews published within the last five (5) years in journals indexed in the Web of Science Core Collection (sections: Arts and Humanities Citation Index, Social Sciences Citation Index);

3) the scholar has a monograph published by one of the following trusted publishers: Elsevier, Brill, CRC Press, DeGruyter, Edward Elgar Publishing, John Wiley & Sons, McGraw Hill, Palgrave Macmillan, Peter Lang, Prentice Hall, Routledge, Sage Publications, Springer Nature, Taylor and Francis, Wolters Kluwer, or by a university press ranked in the top 100 of the US News Best Global Universities Rankings, Academic Ranking of World Universities, or Times Higher Education World University Rankings.

Temporary members of the dissertation council may not include academic advisors, nor individuals affiliated with the doctoral student or their academic advisor, namely:

1) close relatives — parents, children, adoptive parents or adoptees, siblings, grandparents, grandchildren, spouse, or in-laws;

2) employees of organizations with which the doctoral student or academic advisor has employment or other relationships that imply receiving financial or other resources;

3) co-authors of articles and reviews jointly published within the last three (3) years;

4) specialists who previously served as academic advisors or official reviewers and provided a positive assessment of dissertations that subsequently received a negative decision from the Committee regarding their content within the last three (3) years.

2.4 The following persons may not be included in the composition of the dissertation council:

1) the rector of the university at which the dissertation council is established;

2) employees of the Ministry of Science and Higher Education of the Republic of Kazakhstan;

3) specialists who served as academic advisors or supervisors for dissertations defended in the Republic of Kazakhstan or abroad that received a negative decision from the Committee within the last five (5) years.

2.5 The composition of dissertation councils must include at least one foreign scholar.

2.6 At least four (4) members of dissertation councils must have publications in international peer-reviewed scientific journals:

1) For the fields of education 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 and Social Welfare (Medicine), 8D11 Services — at least three (3) publications within the last five (5) years in journals included in the top three quartiles according to Journal Citation Reports (Clarivate Analytics), or with a CiteScore percentile of at least 35 in the Scopus database in one of the scientific fields corresponding to the training direction.

2) For other fields of education — at least two (2) publications within the last five (5) years in journals indexed in the Web of Science Core Collection (sections Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index) and included in the top three quartiles of Journal Citation Reports (Clarivate Analytics), or having a CiteScore percentile of at least 35 in Scopus in a scientific field corresponding to the training direction.

A monograph published within the last five (5) years by a trusted publisher or by a university press ranked in the top 100 of the US News Best Global Universities Rankings, Academic Ranking of World Universities, or Times Higher Education World University Rankings is counted as two (2) scientific papers in international peer-reviewed journals. If the applicant has authored a chapter in such a monograph (with at least three (3) printed pages belonging to the applicant), it is counted as one (1) article in an international peer-reviewed scientific journal.

2.7 The permanent composition of the dissertation council and any changes to it, as well as the chairperson, deputy chairperson, and academic secretary, are approved by the rector's order based on the decision of the university's Academic Council. The decision of the Academic Council is made on the basis of the Committee's decision.

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

2.8 The university shall ensure:

1) the necessary conditions for conducting meetings of the dissertation council and public defenses of dissertations, including through the use of information and communication technologies, software, and technical resources;

2) the verification of dissertations using licensed plagiarism detection systems, including those connected to international databases.

2.9 All expenses related to the activities of the dissertation council (travel expenses of council members: daily allowances, accommodation, railway travel, air tickets for foreign and domestic members of the dissertation council) are reimbursed at the expense of the university in which the dissertation council operates. The budget for transportation and accommodation expenses must additionally include the amount of taxes paid by the university in accordance with the tax legislation of the Republic of Kazakhstan. The university ensures the verification of dissertations using licensed plagiarism detection systems, including systems connected to international databases.

The initial data for calculating the workload of dissertation council members and official reviewers includes the time allocated for preliminary review and/or evaluation of a dissertation, as well as participation in the defense procedure. The initial data for calculating the workload of members of the appeals commission includes the time allocated for reviewing the applicant's attestation file and the dissertation.

For dissertation council members, the total workload is determined based on the working time spent on preliminary review and/or evaluation of the dissertation and participation in the defense, with a total volume of no more than five (5) academic hours per applicant.

For official reviewers, the total workload is determined based on the working time spent on reviewing and/or evaluating the dissertation, including preparation of a written review, and participation in the defense, with a total volume of no more than ten (10) academic hours per applicant.

Reviewers conducting a dissertation evaluation prior to the extended meeting of the department receive hourly compensation equivalent to seven (7) hours.

One official reviewer may evaluate no more than two (2) dissertations within one month.

For members of the appeals commission, the total workload is determined based on the working time spent on reviewing the attestation file and the dissertation, including preparation of a written review, with a total volume of no more than ten (10) academic hours per applicant.

If two (2) negative decisions of the Committee are issued regarding dissertations defended in a given dissertation council, the university must approve a new composition of the dissertation council. If more than two (2) negative decisions of the Committee are issued regarding dissertations defended in this council, the dissertation council terminates its activities and does not operate for three (3) years following its closure.

2.10 The basis for payment of labor for the members of the dissertation council, official reviewers, and members of the appeals commission is their personal application for hourly compensation.

The hourly compensation rates for domestic and foreign (permanent and temporary) members of the dissertation council, depending on their academic degrees and titles, are as follows:

- Professor, Doctor of Sciences – 2600 KZT;
- Professor, Candidate of Sciences, Doctor of Philosophy (PhD) – 2600 KZT;
- Associate Professor, Senior Lecturer, Candidate of Sciences, Doctor of Philosophy (PhD) – 2200 KZT.

Non-voting members of the dissertation council are not eligible for compensation.

The academic secretary of the dissertation council shall, within three (3) days after the dissertation defense, submit a completed application form from each member of the dissertation council who attended the dissertation defense meeting, as well as from official reviewers who provided written reviews of the dissertation.

For dissertation council members representing other organizations (i.e., not university staff), official reviewers from other organizations, and members of the appeals commission who are employees of other organizations, the following documents must be attached to the application:

- a copy of the national ID of a citizen of the Republic of Kazakhstan / a copy of a passport for foreign citizens;
- a copy of the diploma of Candidate/Doctor of Sciences or Doctor of Philosophy (PhD);
- a copy of the academic title certificate of Associate Professor or Professor (if available);
- a copy of a document indicating the IBAN account number (20-digit bank account).

2.11 Grounds for closing a dissertation council for a specific doctoral training direction (specialty) include:

1) three (3) or more decisions of the Committee on dissertations defended in the given council, resulting in refusal to award the degree to the doctoral candidate or the dissertation being sent for re-defense;

2) revocation of the license for educational activities in the relevant doctoral training area;

3) expiration or withdrawal of accreditation of the doctoral educational program;

4) five (5) defenses during which violations of the requirements of this Regulation were identified.

After the dissertation council is closed, an application to establish a new dissertation council for the educational programs of this council may be submitted no earlier than one (1) year later.

Violation of the requirements of this Regulation by the dissertation council is grounds for replacing its permanent membership (if three (3) defenses are conducted with violations).

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

#### **3.1 Functions of the Dissertation Council:**

- 1) acceptance of documents for dissertation defense;
- 2) appointment and replacement of temporary members of the dissertation council, scheduling of the defense date, and appointment of official reviewers for the dissertation;
- 3) establishment of a commission from among the members of the dissertation council (hereinafter – the Dissertation Council Commission) to check the dissertation for the use of borrowed material by the doctoral student without referencing the author and source (plagiarism);
- 4) conducting the public defense of the doctoral dissertation;
- 5) making a decision regarding the dissertation.

#### **3.2 Functions of the Chairperson of the Dissertation Council:**

- 1) provides overall leadership of the dissertation council's activities;
- 2) conducts council meetings;
- 3) ensures compliance with the validity and requirements of the dissertation defense procedure;
- 4) is responsible for the activities and organization of the dissertation council.

#### **3.3 Functions of the Deputy Chairperson of the Dissertation Council:**

- 1) performs the functions of the chairperson in cases where the chairperson is the academic advisor of the dissertation being defended, or in the absence of the chairperson.

#### **3.4 Functions of the Academic Secretary of the Dissertation Council:**

- 1) organizes the procedures for admission to defense and the conduct of the dissertation defense;
- 2) sends the dissertation for plagiarism check through the “Antiplagiat” system, to the OHPE library, to the National Academic Library of the Republic of Kazakhstan, to the National Library of the Republic of Kazakhstan, and to the official reviewers;
- 3) sends correspondence related to the activities of the dissertation council;
- 4) posts materials and information on the dissertation council's website;
- 5) prepares for meetings of the dissertation council, including software and technical resources;
- 6) prepares the documentation of the dissertation council;
- 7) prepares the document package for submission to the Committee.

Correspondence is sent from the official corporate email of the academic secretary. Assigning the responsibilities of the academic secretary to other persons, including doctoral students, is not permitted.

#### **3.5 Members of the Dissertation Council:**

- 1) provide objective, complete, and reliable information;
- 2) do not conceal information related to the dissertation defense;
- 3) respond to violations of scientific ethics;
- 4) remain free from influence of public opinion, any party involved, or third persons when making decisions;
- 5) take measures to prevent and resolve conflicts of interest;
- 6) do not use rude or offensive language or accusations that damage the honor and dignity of other council members, doctoral students, academic advisors, or official reviewers.

In case of violations of the requirements specified in this paragraph, the member of the dissertation council shall be removed from its membership.

3.6 At the end of the calendar year, the dissertation council submits to the Committee a report on its activities in the form specified in Annex 2.

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

3.8 Before accepting the documents for defense, the university where the doctoral student studied conducts a preliminary discussion of the dissertation at an extended meeting of the department or of the academic (scientific) council of the structural subdivision of the university (hereinafter – the extended meeting). The university is not allowed to require the doctoral student to undergo any additional forms of dissertation discussion after the extended meeting has been conducted.

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

3.10 The extended meeting is attended by at least two-thirds (2/3) of the department members, the reviewers, members of the academic or scientific council of the structural subdivision, academic advisors, as well as representatives of related departments and/or structural subdivisions of the university, research and other organizations, and industry practitioners (for dissertations of applied nature).

3.11 In the absence of academic advisors, their reviews of the doctoral student's dissertation are read at the meeting by the head of the department or structural subdivision of the university, or by his/her deputy.

3.12 After receiving a positive conclusion from the extended meeting, the doctoral student submits an application to the rector of the university regarding the selection of the dissertation council where the defense will take place.

If the doctoral student chooses a dissertation council of another university, then within ten (10) working days the university where the doctoral student studied sends his/her documents to the selected dissertation council.

3.13 The following documents are submitted to the dissertation council:

1) reviews of the domestic and foreign academic advisors, certified at the advisor's place of employment. The translation of the foreign advisor's review must be notarized. For dissertations containing state secrets, only the review of the domestic advisor is required;

2) the positive conclusion of the extended meeting;

3) the dissertation in hard-bound form and on an electronic medium (if defended in the form of a dissertation manuscript);

4) abstracts in Kazakh, Russian, and English. The abstract describes the topic and purpose of the dissertation research, research objectives, research methods, key points (proven scientific hypotheses and other conclusions that constitute new knowledge) submitted for defense, a description of the main research results, justification of the novelty and importance of the results obtained, relevance to scientific development trends or state programs, and the doctoral student's contribution to each publication;

5) the list of scientific works and their copies (Annex 3);

6) the conclusion of the University Ethics Committee confirming the absence of violations during the planning, evaluation, selection, conduct, and dissemination of the research results, including protection of the rights, safety, and well-being of research subjects (living organisms and their environment), as well as confirming the presence or absence of the use of artificial



intelligence technologies in preparing the dissertation, taking into account the doctoral student's declaration.

The dissertation may be submitted in Kazakh, Russian, or English.

3.14 The academic secretary of the dissertation council registers the documents specified in this paragraph and submits them to the dissertation council within no more than two (2) working days.

3.15 At the meeting of the dissertation council for accepting the dissertation for defense, the permanent members of the council appoint the temporary members of the dissertation council.

3.16 No later than ten (10) working days from the date of acceptance of the documents, the dissertation council sets the date of the dissertation defense and appoints two (2) official reviewers who hold an academic degree (Doctor of Sciences, Candidate of Sciences, Doctor of Philosophy (PhD), Doctor of Profile) or an academic degree of Doctor of Philosophy (PhD), Doctor of Profile. Reviewers must have five (5) scientific articles in the field of the doctoral student's research published in journals included in the List of Publications of the Committee and/or in the Web of Science Core Collection or Scopus databases, and/or in foreign peer-reviewed journals, or one (1) monograph (authored individually).

3.17 The defense date must not exceed three (3) months from the date the defense date was set. When scheduling defense dates, the order of receipt of doctoral students' documents must be observed.

3.18 When appointing official reviewers, the dissertation council is guided by the principle of independence among reviewers and academic advisors.

The following persons may not be appointed as official reviewers:

- 1) employees of the Committee;
- 2) co-authors of the doctoral student on publications related to the dissertation topic;
- 3) heads and employees of structural units of the university and/or research organization where the dissertation was carried out and/or where the research is conducted in which the doctoral student is a customer, executor, or co-executor;
- 4) specialists who previously served as academic advisors or official reviewers and provided positive conclusions on dissertations that received a negative decision from the Committee regarding dissertation content within the last three (3) years;
- 5) close relatives — parent(s), children, adoptive parents or adoptees, full or half siblings, grandparents, grandchildren.

3.19 The dissertation council shall publish on the university's website the following materials regarding doctoral defenses and the activities of the council (except for materials and dissertations containing state secrets or information for official use):

1) A notice of the upcoming defense, including information about the doctoral student, temporary members of the dissertation council, official reviewers, the form of dissertation submission, address, date, and time (published 1 (one) month before the scheduled defense date and available on an ongoing basis);

2) The dissertation itself (published 1 (one) month before the scheduled defense date), as well as all revised versions based on the council's comments with appropriate markings on the title page (available on an ongoing basis);

3) Abstracts in Kazakh, Russian, and English, with a total length of no more than 15 pages (published 1 (one) month before the scheduled defense date);

4) List of the doctoral student's publications (published 1 (one) month before the scheduled defense date);

5) Reviews of the academic advisors (published 1 (one) month before the scheduled defense date), which remain available for at least five (5) months after the defense;

6) Reviews of the official reviewers (published 5 (five) working days before the scheduled defense date);

7) Full video recording of the defense, without editing (published within 5 (five) working days after the defense and available for at least five (5) months after the defense);

8) Conclusion of the dissertation council regarding the need for revision, repeated defense, or denial of the PhD/Doctor by profile degree (published within 5 (five) working days after the defense and available for at least five (5) months after the defense);

9) Decision of the appeal commission (if applicable, published within 5 (five) working days after the decision and available for at least five (5) months after the decision);

10) Report on the work of the dissertation council (published within 15 (fifteen) working days after the end of the calendar year);

11) Quarterly report on the decisions made by the dissertation councils regarding the awarding or denial of PhD/Doctor by profile degrees.

The quarterly report is published within 5 (five) working days after the end of the quarter and remains available during the operation period of the dissertation council;

12) Announcements regarding changes to the date, time, or place of the defense, and replacement of official reviewers (if applicable);

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

14) Information about the presence of licensed plagiarism detection systems, including access to international databases with indicated validity periods;

15) Conclusion of the University Ethics Committee (in the form specified in Annex 4 to these regulations) of the university where the doctoral student studied, confirming the absence of violations during planning, evaluation, selection, conduct, and dissemination of research results, including protection of rights, safety, and well-being of research objects (living organisms and their habitats), as well as the absence or presence of the use of artificial intelligence technologies in preparing the dissertation based on the doctoral student's statement;

16) Information regarding the organization of an online dissertation council session in the form of a video conference.

3.20 After the dissertation is posted on the university website and/or accepted for defense (in the case of dissertations containing state secrets or information for official use), no changes are allowed. If the dissertation is revised, its final version is posted on the university website after the decision to award the PhD or Doctor by profile degree, marked as "Final version of the dissertation."

The university website shall allow for posting unofficial reviews on the content of the dissertation, which may then be presented during the defense. Unofficial reviews for which authorship cannot be established and which lack the author's email address will not be presented at the defense.

3.21 The dissertation council must submit the notice of the upcoming defense to the Committee within 5 (five) working days from the date of acceptance for defense.

Notices of defenses at university dissertation councils are also posted on the Committee's website within 5 (five) working days from receipt (except for materials and dissertations containing state secrets or information for official use).

3.22 Within 10 (ten) working days after acceptance for defense, the dissertation council sends the dissertation for plagiarism check in domestic and international databases to the Joint Stock Company "National Center for State Scientific and Technical Expertise" (hereinafter – NCSSSTE). The title page and the reference list are not checked for plagiarism.

NCSSSTE ensures that the text of the dissertation is publicly available on its website within 10 (ten) working days from receipt. The dissertation remains accessible on a permanent basis.

3.23 Official reviewers, based on studying the dissertation and published works, provide written reviews to the dissertation council in the form specified in Annex 5 to these regulations.

3.24 In the case of a dissertation in the form of a series of articles, official reviewers comment on the scientific level of the doctoral student's articles on the research topic. If 2/3 or

more of an article's content is not related to the doctoral student's research topic, the official reviewer does not consider it.

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

1) Award the PhD or Doctor by profile degree (in the case of defense in a university with special status) or recommend to the Committee to award the PhD or Doctor by profile degree (in the case of defense in a university without special status);

2) Send the dissertation for revision (except in the case of dissertations in the form of a series of articles);

3) Deny the awarding of the PhD or Doctor by profile degree.

Copies of the official reviewers' reviews are provided to the doctoral student no later than 5 (five) working days before the defense.

3.26 Replacement of official reviewers occurs in the case of a written refusal or inability to review. If the decision to replace an official reviewer is made less than 5 (five) working days before the defense, the defense date is postponed.

3.27 If plagiarism is detected as indicated in the NCSSSTE report, in the official reviewers' reviews, or in unofficial reviews posted on the university website, the Dissertation Council Commission verifies the dissertation for plagiarism. The conclusion of the plagiarism check is provided to the dissertation council no later than 8 (eight) working days before the defense.

3.28 Based on the conclusion of the Dissertation Council Commission (no later than 7 (seven) working days before the defense), the dissertation council decides to allow the doctoral student to defend or removes the dissertation from defense. The council informs the doctoral student of the decision within 2 (two) working days, and the corresponding information is posted on the university website (except in the case of dissertations containing state secrets or information for official use).

The doctoral student may withdraw the dissertation from defense, but no later than 7 (seven) working days before the scheduled defense.

3.29 The chairperson, deputy chairperson, and academic secretary of the dissertation council cannot perform their duties during the council meeting if the dissertation under review belongs to a doctoral student for whom they serve as academic advisors. In such cases, the deputy chairperson assumes the duties of the chairperson, and the duties of the deputy chairperson and academic secretary are assigned to other members by the decision of the dissertation council.

If the chairperson, deputy chairperson, and academic secretary are simultaneously absent, the dissertation council meeting is not held.

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

Invited specialists from the practical field may attend the meeting if the dissertation has an applied nature.

Participation in the defense via videoconference is allowed if a council member or official reviewer is abroad or unable to attend in person for objective reasons.

3.31 The public defense of the dissertation is conducted via live online streaming on the Internet. In the case of dissertations containing state secrets or information for official use, participation of dissertation council members and official reviewers via videoconference, as well as Internet streaming, is not permitted.

3.32 The dissertation council informs the doctoral student, council members, and official reviewers about the videoconference meeting at least 5 (five) working days before the defense via email and an announcement on the dissertation council webpage.

3.33 When conducting a dissertation council meeting via videoconference, the following must be ensured:

- visual identification of participants;

- continuous video and audio streaming of participants' presentations on the Internet;
- video and audio recording of the meeting;
- secret voting of dissertation council members.

The videoconference defense is conducted on one of the available online platforms (Zoom, Microsoft Teams, Google Meet, etc.).

For organizing the videoconference defense, all dissertation council members, academic advisors, official reviewers, and the doctoral student must install the relevant software on their computer, ensure a computer with a webcam, speakers/headphones, and a microphone. Mobile phones are not recommended. Upon joining, all participants must display their full name and keep the webcam on for identification.

Before the meeting starts, the academic secretary verifies the identity of the doctoral student and council members.

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

3.34 The procedure of a dissertation council meeting for defense includes:

- introductory remarks by the chairperson regarding quorum and the validity of the meeting;
- presentation by the academic secretary to confirm compliance of the doctoral student's documents with regulatory requirements, including completeness and relevance of scientific publications;
- presentation by the doctoral student (up to 20 minutes);
- questions to the doctoral student and responses;
- presentations by academic advisors;
- presentations by official reviewers (official reviewers may present online via videoconference);
- doctoral student's responses to reviewers' comments and recommendations;
- reading of unofficial reviews, if any, by the academic secretary;
- discussion among meeting participants;
- closing remarks by the doctoral student;
- secret voting;
- announcement of the public defense results;
- adoption of the dissertation council's conclusion on the dissertation based on the defense.

3.35 The dissertation council conducts secret voting to make one of the following decisions:

1) Award the PhD or Doctor by profile degree (for defenses in universities with special status) or recommend to the Committee to award the PhD or Doctor by profile (for defenses in universities without special status);

2) Send the dissertation for revision (only for dissertations in the form of a dissertation work);

3) Send the dissertation for re-defense;

4) Deny awarding the PhD or Doctor by profile degree or deny recommending to the Committee to award the degree (for defenses in universities without special status).

3.36 A dissertation is sent for revision if it contains minor textual comments, the correction of which does not change the essence of the work. If the dissertation does not comply with the degree awarding rules and/or partially meets the principles (except the principle of academic honesty) of independence, internal consistency, scientific novelty, reliability, and practical value, it is sent for re-defense. In case of violation of the principle of academic honesty or non-compliance with the principles of scientific novelty, internal consistency, and reliability, a decision is made to deny the awarding of the PhD or Doctor by profile degree.

3.37 Members of the dissertation council who are academic advisors, direct supervisors, or close relatives of the doctoral student, as well as invited specialists, do not participate in the voting.

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

The dissertation council's decision to award (or recommend to the Committee to award) the PhD or Doctor by profile degree is considered adopted if at least 3/4 (three-quarters) of the participants vote in favor.

The decision of the dissertation council to deny the degree, or to send the dissertation for revision or re-defense, is considered adopted if at least 2/3 (two-thirds) of the participants vote in favor. If this number of votes is not reached, a repeat secret vote is conducted, where the decision to send the dissertation for revision or re-defense is adopted if the majority of participants vote in favor.

3.38 When a decision is made to send a dissertation for re-defense or to deny the degree, the dissertation council prepares a conclusion indicating which requirements of this regulation and the Rules the dissertation does not meet.

A re-defense is held no earlier than 6 (six) months after the previous defense, following the procedure established by this regulation. The composition of temporary members of the dissertation council and official reviewers is retained. A dissertation may be sent for re-defense no more than 2 (two) times.

An extended meeting is not held for the re-defense.

The re-defense is conducted at the same Higher Education Organization (HEO) where the previous defense took place. If the dissertation council no longer exists at this HEO, the doctoral student may choose another dissertation council in accordance with clause 3.12 of this regulation.

The composition of temporary members and official reviewers remains the same for the re-defense. Replacement occurs only in the case of written refusal by temporary members or reviewers, or in case of death.

One (1) month before the re-defense, the dissertation is sent to the NCGSTE (National Center for State Scientific and Technical Expertise) for plagiarism checking.

3.39 When a decision is made to send a dissertation for revision, the dissertation council prepares a conclusion containing specific comments on the dissertation.

The revised dissertation must be submitted to the dissertation council within three months, which may be extended no more than 3 (three) months. The decision to extend the revision period is made by the dissertation council based on the doctoral student's request. If the revised dissertation is not submitted within the established deadlines, the doctoral student must undergo a re-defense.

If the doctoral student fully or partially disagrees with the comments of the dissertation council, they must provide reasoned responses to these comments.

The revised dissertation is sent to the NCGSTE for plagiarism checking. After receiving the plagiarism report from NCGSTE, the dissertation council, together with the official reviewers, holds a meeting to discuss the revised dissertation and responses to comments (if any) to verify that the council's remarks have been addressed. The meeting is conducted in accordance with clauses 3.30–3.34 of this regulation. The meeting is video-recorded without online streaming.

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

3.40 The final version of the dissertation, on electronic media, must be submitted within 7 (seven) working days after the decision to award the PhD or Doctor by profile degree. The dissertation is sent by the dissertation council's secretary to the university library, the National Academic Library of the Republic of Kazakhstan, the National Library of the Republic of Kazakhstan. Exceptions: Dissertations containing state secrets or classified information are excluded.

3.41 The dissertation council's secretary prepares the doctoral student's attestation file, which is sent to the Committee within 30 (thirty) calendar days after the dissertation defense. The attestation file includes the following documents:

1) Cover letter/recommendation on the university letterhead, signed by the chair of the dissertation council, indicating the date the dissertation was sent to NCGSTE (except for dissertations containing state secrets or classified information).

2) Dissertation on electronic media. Dissertations containing state secrets or classified information must also be submitted in paper form.

3) List and copies of scientific publications related to the dissertation.

4) Copy of the identity document.

5) Plagiarism report from NCGSTE. For dissertations containing state secrets or classified information, a report from the commission of military or special educational institutions and/or research organizations under the National Security Committee, Ministry of Internal Affairs, Prosecutor's Office, or Ministry of Defense of Kazakhstan is submitted instead.

6) Attendance sheet of dissertation council members according to the form in Appendix 6.

7) Full video recording and protocol of the dissertation council meeting for the defense and discussion of the revised dissertation (if applicable), signed by the chair and the secretary.

8) Copy of the transcript confirming completion of the professional doctoral program.

9) Information about the doctoral student according to the form in Appendix 7.

Documents listed in points 1), 3), 4), 5), 6), 8), and 9) are submitted to the Committee in scanned PDF format (except for attestation files containing state secrets or classified information).

3.42 A dissertation that received a negative decision from the Committee or the dissertation council may be submitted for re-defense.

When submitting a dissertation for re-defense, the dissertation council appoints three members of the council to prepare a conclusion on the elimination of previously identified violations in the dissertation. The conclusion must be posted on the university's website at least 10 (ten) working days before the defense and read aloud at the dissertation defense.

3.43 An appeal against a negative decision of the dissertation council is submitted by the doctoral student to the university rector in free form within 2 (two) months from the date of the council's decision.

Within 10 (ten) working days from the submission of the appeal, the rector issues an order to establish an appeal commission. The commission must include **at least three specialists** with an academic degree in the relevant specialty (branch of science); foreign experts may also be included. Scientific advisors, reviewers, and members of the dissertation council cannot be members of the commission.

The commission operates in accordance with this regulation and the Rules for Awarding Degrees.

The commission reviews the appeal, the dissertation, and the materials of the dissertation council and prepares a conclusion on the appeal within 30 (thirty) calendar days from its establishment.

The conclusion of the appeal commission is adopted by an open vote of the commission members by majority and signed by all members. If the conclusion of the appeal commission is positive, a diploma awarding the PhD or Doctor by profile degree is issued.

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

3.44 If an appeal is submitted against a decision of the dissertation council, the positive conclusion of the appeal commission and the dissertation are sent to the Committee within 15 (fifteen) calendar days for the final decision.

The decision of the appeal commission is communicated to the doctoral student within 5 (five) working days from its adoption and is posted on the university website.

3.45 Disputes not regulated by this regulation, including issues regarding the refusal to award a PhD or Doctor by profile degree or the reinstatement of the appeal submission deadline, are resolved in court in accordance with the legislation of the Republic of Kazakhstan.

**AGREED**

**Vice Rector for Science and Innovation**

**R.Beknazarov**

**Vice Rector for Finance and Infrastructure**

**G.Yesenbayeva**

**Director of the Legal Department**

**L.Alimanova**

**Director of the Documentation Department**

**L.Esenalina**

**Information about applicants for members of the dissertation Council**

№ п/п	(Full name (if any)) (in the official or Russian and English languages)	Degree, academic title	Main place of work	Citizenship	The Hirsch index according to the Web of Science or Scopus information base	Publications in international peer-reviewed scientific journals included in the first three quartiles according to the Journal Citation Reports or having at least 35 CiteScore percentile in the Scopus database	Publications in journals from the List of publications



## Report on the work of the Dissertation Council

### The Dissertation Council at

(name of the university)

in the field of personnel training \_\_\_\_\_

The report contains the following information:

1. Data on the number of meetings held.
2. Full names (surname, first name, patronymic, if applicable) of the dissertation council members who attended less than half of the meetings.
3. A list of doctoral students with indication of their educational institution.
4. A brief analysis of the dissertations considered by the council during the reporting year, including the following sections:
  - 1) Analysis of the topics of the reviewed dissertations.
  - 2) The relation of dissertation topics to scientific development directions formulated by the Supreme Scientific and Technical Commission under the Government of the Republic of Kazakhstan in accordance with paragraph 3 of Article 18 of the Law "On Science" and/or state programs.
  - 3) Analysis of the level of implementation of dissertation results in practical activities.
  5. Analysis of the work of official reviewers, including examples of the most low-quality reviews.
  6. Recommendations for further improvement of the system for training scientific personnel.
  7. Number of dissertations for the degree of Doctor of Philosophy (PhD) or Doctor by profile, broken down by staff training directions:
    - 1) dissertations accepted for defense (including doctoral students from other universities).
    - 2) dissertations withdrawn from consideration (including doctoral students from other universities).
    - 3) dissertations that received negative reviewer feedback (including doctoral students from other universities).
    - 4) dissertations with a negative decision after the defense (including doctoral students from other universities).
    - 5) dissertations sent for revision (including doctoral students from other universities).
    - 6) dissertations submitted for re-defense (including doctoral students from other universities).

Chairman of the Dissertation Council \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

Academic Secretary of the Dissertation Council \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

Print date " \_\_\_\_ " \_\_\_\_\_ 20\_\_ years.

### Quarterly report on the decisions made by dissertation councils regarding the awarding (or denial) of the degree of Doctor of Philosophy (PhD) or Doctor by profile.

№	(Full name (if any)) a doctoral student	Year of birth	The period of doctoral studies	The university where the doctoral student studied	Dissertation topic	Scientific consultants ((Full name (if any)), degree, place of work)	Official reviewers ((Full name (if any)), degree, place of work)	Date of protection	The adopted decision of the Dissertation Council and the Appeals Commission (if any)	Diploma number
1	2	3	4	5	6	7	8	9	10	11

## Appendix 3

**LIST**  
**of scientific papers of the PhD \_\_ course of the educational program "... " of Aktobe Regional University**  
**named after K. Zhubanov \_\_\_\_\_**

<b>№</b>	<b>Name of Labor</b>	<b>Job Description</b>	<b>Publisher, journal, conference (title, no., year), copyright certificate No., patent</b>	<b>Volume (liters)</b>	<b>Co-authors</b>
1	2	3	4	5	6
<b>Publications included in the Scopus/Web of Science database</b>					
1		Print (article)			
<b>Publications in publications recommended by the Committee for Quality Assurance in the Field of Science and Higher Education of the Ministry of Internal Affairs of the Republic of Kazakhstan for the publication of scientific results</b>					
1		Print (article)			
<b>Publications in the proceedings of international conferences</b>					
1		Print (article)			
<b>Copyright certificate, patent</b>					
1		Print (article)			
<b>Other publications</b>					
1		Print (article)			

The applicant:

Chief Scientific Secretary:

## Conclusion of the Ethics Commission \_\_\_\_\_

name of the university

1	Full name of the doctoral student	
2	Specialty (educational program) of the doctoral program	
3	The period of doctoral studies	
4	Thesis topic, date of approval	
5	Information about scientific consultants - Full name (if any), positions and places of work, academic degrees, citizenship	
6	Objects of research	
7	Violations in the process of planning, evaluation, selection and conducting scientific research	Violations have been identified or not If violations are detected, you must specify them.
8	Violations in the process of dissemination of scientific research results	Violations have been identified or not If violations are detected, you must specify them.
9	How was the protection of the rights, safety and well-being of research objects (in the case of wildlife and habitat) carried out?	

Chairman of the Ethics Committee \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

Secretary of the Ethics Commission \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

## Письменный отзыв официального рецензента

№	Criteria	Meeting the criteria (please note one of the possible answers)	Justification of the official reviewer's position
1	The topic of the dissertation (as of the date of its approval) corresponds to the directions of scientific development and/or state programs.	Compliance with priority areas of science development or government programs:	
		1) The dissertation was completed within the framework of a project or target program funded from the state budget (specify the name and number of the project or program)	
		2) The dissertation was completed within the framework of another state program (specify the name of the program)	
		3) The dissertation corresponds to the priority area of science development approved by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (specify the direction)	
2	Importance for science	The work makes/does not make a significant contribution to science, and its importance is well disclosed / not disclosed	
3	The principle of independence	The level of independence:	
		1) High;	
		2) Average;	
		3) Low;	
		4) There is no independence	
4	The principle of internal unity	4.1 Substantiation of the relevance of the dissertation:	
		1) Justified;	
		2) Partially justified;	
		3) Is not justified.	
		4.2 The content of the dissertation reflects the topic of the dissertation:	
		1) Reflects;	
		2) Partially reflects;	
		3) Does not reflect	
		4.3. The purpose and objectives correspond to the topic of the dissertation:	
		1) correspond to;	
		2) partially correspond to;	
		3) do not match	
		4.4 All sections and provisions of the dissertation are logically interrelated:	
		1) completely interconnected;	
		2) the relationship is partial;	
		3) there is no relationship	
		4.5 The new solutions (principles, methods) proposed by the author are reasoned and evaluated in comparison with the known solutions:	
		1) there is a critical analysis;	
		2) partial analysis;	
		3) the analysis is not your own opinions, but quotes from other	

		authors.	
5	The principle of scientific novelty	5.1 Are the scientific results and provisions new?	
		1) completely new;	
		2) partially new (25-75% are new);	
		3) not new (less than 25% are new)	
		5.2 Are the conclusions of the dissertation new?	
		1) completely new;	
		2) partially new (25-75% are new);	
		3) not new (less than 25% are new)	
		5.3 Technical, technological, economic or managerial decisions are new and reasonable:	
		1) completely new;	
		2) partially new (25-75% are new);	
		3) not new (less than 25% are new)	
6	Validity of the main conclusions	All the main conclusions are based/not based on scientifically significant evidence or are well-founded enough (for qualitative research and courses of study in arts and humanities)	
7	The main provisions submitted for defense	It is necessary to answer the following questions for each provision separately:	
		7.1 Has the position been proven?	
		1) proven;	
		2) rather proven;	
		3) rather not proven;	
		4) not proven	
		7.2 Is it trivial?	
		1) yes;	
		2) no	
		7.3 Is it new?	
		1) yes;	
		2) no	
		7.4 Application level:	
		1) narrow; 2); 3) 7.5	
		2) average;	
		3) wide	
		7.5 Is it proved in the article?	
		1) yes;	
		2) no	
8	The principle of reliability is the reliability of sources and information provided	8.1 Is the choice of methodology justified or is the methodology described in sufficient detail	
		1) yes;	
		2) no	
		8.2 The results of the dissertation work were obtained using modern scientific research methods and methods of data processing and interpretation using computer technology:	
		1) yes;	
		2) no	
		8.3 Theoretical conclusions, models, identified relationships and patterns have been proven and confirmed by experimental research (for areas of training in pedagogical sciences, the results have been proven on the basis of a pedagogical experiment):	

		1) yes;	
		2) no	
		8.4 Important statements are confirmed/partially confirmed/not confirmed by references to relevant and reliable scientific literature	
		8.5 The literature sources used are sufficient/not sufficient for a literary review	
9	Принцип практической ценности	9.1 The dissertation has theoretical significance:	
		1) yes;	
		2) no	
		9.2 The thesis is of practical importance and there is a high probability of applying the results obtained in practice.:	
		1) yes;	
		2) no	
		9.3 Are the suggestions for practice new?	
		1) Completely new;	
		2) partially new (25-75% are new);	
10	Качество написания и оформления	3) not new (less than 25% are new)	
		The quality of academic writing:	
		1) high;	
		2) average;	
		3) below average;	
11	Notes to the dissertation	4) low.	
12	The scientific level of the doctoral student's articles on the research topic (in the case of a dissertation defense in the form of a series of articles, official reviewers comment on the scientific level of each doctoral student's article on the research topic)		
13	The decision of the official reviewer (according to clause 3.23 of these regulations)		

**Attendance list of members of the dissertation Council**

Council meeting from " \_\_\_\_ " \_\_\_\_\_ 20\_\_ year, Protocol No. \_\_\_\_\_

Doctoral student's thesis defense \_\_\_\_\_

(last name, first name, patronymic (if any))

in the field of personnel training \_\_\_\_\_

Last name, first name, patronymic (if any) of the members of the dissertation Council	Degree	Attendance at the meeting (signed)
1	2	3

Academic Secretary of the Dissertation Council \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

Information about the doctoral student \_\_\_\_\_

(last name, first name, patronymic (if any))

<p>Photo</p> <p>3x4</p>
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1	Date and place of birth, citizenship, nationality		
2	Information about doctoral studies (university and period of study)		
3	The specialty of doctoral studies		
4	Place of defense and date of dissertation defense		
5	Topic and language of the dissertation		
6	Scientific consultants (full name (if any), position, academic degrees, academic titles, citizenship)		
7	Official reviewers (Full name (if any), position, academic degrees, academic titles, citizenship)		
8	Number of publications, total, including:		
	In magazines from the List of publications		
	in a foreign publication from the Web of Science or Scopus database		
	in the materials of international conferences, including:		
	in the materials of foreign conferences		
9	Labor activity		
Date		Place of work, position	Location of the institution
reception	dismissals		
10	Place of residence, contact information		

Academic Secretary of the Dissertation Council \_\_\_\_\_

(signature, surname, first name, patronymic (if any))

Print, date " \_\_ " \_\_\_\_\_ 20\_\_ year