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THE REGULATIONS ON THE DISSERTATION COUNCIL OF THE KARAGANDA ECONOMIC UNIVERSITY KAZPOTREBSOYUZ

1. GENERALITIES

1.1. The present regulations on the Dissertation Council of the Karaganda economic University Kazpotrebsoyuz (hereinafter – KEUK) is developed on the basis of the order of the Minister of education and science (hereinafter - MES) from 31.03.2011, №126 "On approval of Model regulations on the dissertation Council" (hereinafter - Model regulations) and "Rules of awarding scientific degrees", approved by order of MES RK from 31.03.2011, №127 (hereinafter - the Rules).

1.2. In its activities, the dissertation Council is guided by the laws of the Republic of Kazakhstan "on education", "on science", other legal and regulatory documents.

1.3. The dissertation Council consists of a Chairman, a Vice-Chairman, a scientific Secretary and members of the Council.

1.4. The dissertation Council consists of at least 6 (six) people with a degree and at least half of the members have at least 5 (five) publications in the relevant field of research. At the same time, at least half of the members of the dissertation Council are representatives of other Universities, scientific and (or) other organizations.

1.5. The Chairman, Deputy Chairman and scientific Secretary of the dissertation Council may not perform their duties at the meeting of the dissertation Council in the case when the dissertation of a doctoral student, for whom they are scientific consultants, is considered. The duties of the Chairman of the dissertation Council shall devolve on the Vice-President the duties of Vice-Chairperson and a scientific Secretary rests with the members the decision of the dissertation Council. In cases of simultaneous absence of the Chairman, the Deputy Chairman and the scientific Secretary the meeting of dissertation Council is not carried out.


1.6. The composition of the dissertation Council is approved by the order of the rector on the basis of the decision of the Academic Council of KEUK. Travel expenses of nonresident members (if any) of the dissertation Council shall be reimbursed at the expense of the CEC, in which the dissertation Council operates. KEUK provides a computer program to check for plagiarism.

2. The main tasks and objectives of the Dissertation Council

2.1. The dissertation Council (hereinafter-the Council) determines the procedure for awarding doctoral students who have mastered the educational programs of doctoral studies and submitted a dissertation (hereinafter-the thesis) for the degree of doctor of philosophy (PhD).

2.2. The dissertation is a qualifying scientific work on a specific educational program for the preparation of a doctor of philosophy (PhD).

2.3. The dissertation is carried out under the guidance of domestic and foreign scientific consultants who have degrees and are specialists in the field of doctoral

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research. The dissertation, which contains state secrets, is carried out under the guidance of two domestic scientific consultants with degrees. The thesis must meet one of the following requirements:

- 1) contain new evidence-based results that solve an important scientific problem;
- 2) contain new evidence-based results, the use of which provides a solution to an important application problem;
- 3) contain new scientifically substantiated theoretical and (or) experimental results, the totality of which is important for the development of specific scientific areas.

2.4. The thesis is submitted in one of the following languages — state, Russian or English. The main scientific results of theses for the degree of doctor of philosophy (PhD) are published prior to the dissertation defense at least seven (7) publications on the topic of the thesis, including at least 3 (three) articles (and/or related) - in scientific editions included into the List of scientific editions recommended to publish main results of scientific activities approved by the authority; one (1) articles in international peer-reviewed journal.


Articles in international peer-reviewed scientific journals are considered depending on the field of study, in particular: in publications that have a non-zero impact factor according to the journal Citation Reports of Clarivate Analytics or indexed in the Web of Science Core Collection database (arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index of Clarivate Analytics; as well as in publications that have in the Scopus database a percentile index for CiteScore of at least 25 in at least one of the scientific areas corresponding to the content of the thesis, or included in the JSTOR database. Articles in international peer-reviewed scientific journals correspond to the thematic focus of the journal, stated in these databases, and are published in current issues. At the time of publication of the article or defense of the thesis, the journal has a percentile on CiteScore in the Scopus database or an impact factor (or indexed) in the Web of Science Core Collection database.

If there are scientific articles exceeding the required number in international peer-reviewed scientific journals, they are considered as articles in scientific publications included in the list of publications.

When defending dissertations containing state secrets or information for official use, the main results of the dissertation are published in at least 7 (seven) publications on the topic of the dissertation, including at least 4 (four) articles - in scientific publications included in the list of publications.

2.5. The dissertation is marked by references:

- 1) sources of cited materials or individual results with full output;
- 2) protection documents for developments received by him independently or in co-authorship;
- 3) scientific works on the topic of the dissertation, performed by him alone or in co-authorship.

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2.6. In case of use of the borrowed material without reference to the author and the source of borrowing (further - plagiarism) the dissertation Council or Committee makes the negative decision without the right of repeated protection.

2.7. Doctoral students who have defended their dissertations in the dissertation Council of KEUK, the degree of doctor of philosophy (PhD), is awarded by the Committee, taking into account the opinion of the Expert Council and in the manner prescribed in Chapter 3 Of the rules for awarding degrees.

3. The main functions of the dissertation Council

3.1. In its activities the Board is guided by legal and normative acts of the Committee for education and science governing evaluation of the teaching staff.


3.2. Functions of the dissertation Council:

- 1) acceptance of documents for thesis defense;
- 2) appointment of the date of defense and official reviewers of the thesis;
- 3) creation of the Commission from among members of dissertation Council (further-the Commission of dissertation Council) for check of the dissertation on use by the doctoral student of the borrowed material without the reference to the author and a source of borrowing (plagiarism);
- 4) public defense of doctoral dissertation;
- 5) removal of the thesis from the defense.

3.3. At the end of the calendar year, the dissertation Council shall submit to the Committee a report on the work of the dissertation Council in accordance with Annex 1 to this regulation.

3.4. The following documents are submitted to the dissertation Council:

- 1) application addressed to the Chairman of the Dissertation Council for admission to the defense (Annex 2)
- 2) reviews of domestic and foreign scientific consultants;
- 3) positive conclusion of the extended meeting of the Department and (or) structural unit, reviews of internal reviewers, approval sheet;
- 4) thesis in hardcover and electronic media (CD-ROM);
- 5) list of scientific works and their copies (2 copies) (Appendix 3);
- 6) abstract in 3 languages (state, Russian and English) of at least 1 printed sheet (in paper and electronic (PDF format));
- 7) implementation act;
- 8) personal form of accounting personnel;
- 9) information on the spelling of the surname, name and patronymic (if available) in Kazakh, Russian and English;
- 10) a copy of the transcript of the development of the professional curriculum of doctoral studies;
- 11) information about the doctoral student in the form (Annex 4).

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3.5. The scientific Secretary shall accept documents from the doctoral student, according to the approved list (according to the Model regulations on the dissertation Council), register them and submit them to the dissertation Council within at least 2 (two) working days.

3.6. No later than 10 (ten) working days from the date of receipt of documents, the dissertation Council determines the date of defense of the thesis and appoints two official reviewers with a degree and at least 5 (five) scientific articles in the field of doctoral studies, one of whom is not an employee of the Committee or co-author of the doctoral student on the works published on the topic of the thesis or the head and employee of structural divisions of the CEC. The protection date does not exceed more than 3 (three) months from the date of appointment of the protection date. At appointment of date of protection the order of receipt of documents of doctoral students is observed. Members of the dissertation Council (not more than 1/3) are allowed to attend the meeting on acceptance of the thesis for defense on-line in the form of a video conference.

3.7. The dissertation Council places on the Internet resource of KEUK the following materials about the doctoral students' defenses and the activities of the Council (except for materials and dissertations containing state secrets or information for official use):

1) notification of the upcoming protection with the address, date and time (1 (one) month before the set date of protection);

2) dissertation (1 (one) month before the set date of defense, available for at least 5 (five) months after the defense of the thesis);

3) the abstract in the state, Russian, English languages with a total volume of not less than 1 (one) printed sheet (1 (one) month before the set date of protection);

4) list of publications of the doctoral student (1 (one) month before the set date of protection);


5) reviews of scientific consultants (1 (one) month before the set date of protection), which are available for at least 5 (five) months after protection;

6) reviews of official reviewers (15 (fifteen) working days before the set date of protection);

7) video recording of protection in full, installation is not allowed (placed within 5 (five) working days after protection and available for at least 5 (five) months after protection);

8) the conclusion of the dissertation Council on the refusal to award the degree of doctor of philosophy, doctor of profile (placed 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 available, is placed within 5 (five) working days after the decision and is available for at least 5 (five) months after the decision);

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10) report on the work of the dissertation Council in accordance with Annex 1 to this regulation (posted within 15 (fifteen) working days at the end of the calendar year) (Annex 1);

11) announcement of change of date, time, place of defense and replacement of official reviewers (if available);

12) information on the composition of the dissertation Council and the procedure of the dissertation Council.

3.8. Notice of the upcoming defense is sent by the dissertation Council to the Committee within 5 (five) working days from the date of admission to the defense.

3.9. Within 10 (ten) working days after receiving the protection of a dissertation Council directs a thesis for review for a doctoral student borrowed material without citing the author and source of borrowing in the Joint-stock company "national center of state scientific and technical expertise".

3.10. A copy of the thesis on paper and electronic media is transferred to the KEUK library. Within 7 (seven) working days after the defense, copies of the dissertation on electronic media are transferred by the scientific Secretary of the dissertation Council to the National academic library of the Republic of Kazakhstan and the National library of the Republic of Kazakhstan.

3.11. If there is evidence of plagiarism indicated in reference NCSSTE to the official reviewers and informal feedback on the online resource of the University Board of the dissertation Council shall check the thesis for plagiarism. The conclusion on the results of the examination shall be submitted to the dissertation Council not later than 8 (eight) working days before the defense of the thesis.

3.12. Dissertation Council on the basis of the conclusions of the dissertation Council (not later than 7 (seven) working days before the defense) decides on the admission of doctoral student to defend or removes the dissertation defense. The dissertation Council informs the doctoral student about the decision within 2 (two) working days, as well as the relevant information is posted on the Internet resource of the University (except for the defense of dissertations containing state secrets and information for official use).

The doctoral student has the opportunity to withdraw the thesis from the defense, but not later than 7 (seven) working days before its defense.


3.13. The dissertation Council shall hold a secret ballot to make one of the following decisions:

1) apply to the Committee for the award of the doctoral degree of doctor of philosophy (PhD) or doctor of profile;

2) not to apply before the Committee for the award of the doctoral degree of doctor of philosophy (PhD) or doctor of profile.

Members of the dissertation Council, who are scientific consultants, direct supervisors or are closely related to the doctoral student, do not participate in the voting.

3.14. The decision of the dissertation Council is considered to be adopted positively if 2/3 (two thirds) or more members of the dissertation Council who

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participated in the meeting voted for it. If less than 2/3 (two thirds) of the members of the dissertation Council who participated in the meeting voted for a positive decision, a negative decision is taken.

3.15. When making a negative decision, the dissertation Council makes a conclusion, which reflects the requirements of the Model regulations, Rules of awarding degrees does not meet the thesis. Copies of reviews of reviewers, scientific consultants, video, transcript of the meeting and the conclusion of the dissertation Council, signed by the Chairman and the scientific Secretary, are sent to the Committee within 15 (fifteen) calendar days from the date of the decision.

The conclusion of the dissertation Council on the refusal to award the degree of doctor of philosophy (PhD) or doctor of profile is placed on the Internet resource of the University in accordance with subparagraph 8) of paragraph 23 of the Model regulations.

3.16. The scientific Secretary of the dissertation Council forms the attestation file of the doctoral student, which is sent to the Committee within 30 (thirty) calendar days after the defense of the doctoral thesis at the dissertation Council. In the attestation case of the doctoral student the following documents are attached:

1) a cover letter-petition on the form KEUK, signed by the Chairman of the dissertation Council, indicating the date of sending the thesis to the national center of state scientific and technical expertise;

2) thesis in hardcover and electronic media (CD-ROM);

3) list and copies of scientific publications on the topic of the dissertation;

4) information on the spelling of the surname, name and patronymic (if available) in Kazakh, Russian and English;

5) certificate from the National center for state scientific and technical examination to verify the thesis for the doctoral use of borrowed material without citing the author and source of borrowing;

6) reviews of scientific consultants;

7) reviews of 2 (two) reviewers;


8) turnout list of members of the dissertation Council in the form according to Annex 5 to this regulation (Annex 5);

9) video recording in full and the minutes of the meeting of the dissertation Council for the defense of the thesis, signed by the Chairman and the scientific Secretary;

10) a copy of the transcript of the development of the professional curriculum of doctoral studies;

11) data on the doctoral student in the form according to Appendix 4 to this provision.

3.17. The dissertation on which the negative decision of Committee or dissertation Council was made, is submitted for repeated protection in the order established in Chapter 3 of the Model provision.

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3.18. At submission of the dissertation on repeated protection the dissertation Council appoints 3 (three) members of dissertation Council who make the conclusion on elimination in the dissertation of the violations established earlier. The conclusion is posted on the Internet resource KEUK not less than 10 (ten) working days before the defense and is read at the defense of the thesis.

3.19. An appeal against a negative decision of the dissertation Council is submitted by a doctoral student in any form within 2 (two) months from the date of the decision to the UNIVERSITY in which the thesis was defended. Within 10 (ten) working days from the date of appeal by the order of the rector of KEUK the appeal Commission (further - the Commission) is created.

3.9. The Commission includes 3 (three) specialists with a degree in the relevant specialty. Members of the Commission may not be scientific consultants, reviewers, members of the dissertation Council or the Expert Council of the Committee.

3.10. The Commission considers the appeal application, the dissertation, materials of dissertation Council on protection of the dissertation and prepares the conclusion by results of the appeal within 30 (thirty) calendar days from the date of its creation. The conclusion of the appeal Commission shall be adopted by the members of the Commission on the basis of an open vote by a majority of votes and signed by all members of the Commission. 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 within 5 (five) working days from the date of its adoption is reported to the doctoral student and posted on the Internet resource KEUK.

DEVELOPERS:

Vice-rector for scientific work,
 strategic and innovative
 Professor, doctor of Economics,
 Professor



G. E. Nakipova

Director of DEM research
 doctor of Economics, Professor
 A. A. Taubaev
 Head.department



A. A. Taubaev

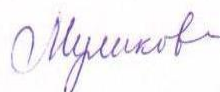
Economic theory and public
 administration
 PhD




A. A. Mussatayeva

AGREED:

Director DSR,
 d.p.s., professor



S.A. Mulikova

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Annex 1
to the Provision on
Dissertation board

Report on the work of the dissertation Council

Dissertation board _____

by _____

(name of the University)

by specialties (direction of training) _____

The report contains the following information:

1. Data on the number of meetings held.
2. Surnames, first name, patronymic (if any) of the members of the dissertation Council who attended less than half of the meetings.
3. List of doctoral students indicating the organization of training.
4. A brief analysis of the dissertations considered by the Council during the reporting year, highlighting the following sections:
 - 1) analysis of the subject of the considered works;
 - 2) relationship of subjects of theses from the areas of science, which formed the Supreme scientific-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 the results of dissertations in practice.
5. Analysis of the work of official reviewers (with examples of the most substandard reviews).
6. Proposals for further improvement of the system of training of scientific personnel.
7. Number of dissertations for the degree of doctor of philosophy(PhD), doctor in the profile in the context of specialties (areas of training):
 - 1) dissertations accepted for defense (including doctoral students from other Universities);
 - 2) dissertations withdrawn from consideration (including doctoral students from other Universities);
 - 3) dissertations, which received negative reviews from reviewers (including doctoral students from other Universities);
 - 4) dissertations with a negative decision on the results of the defense (including doctoral students from other Universities).


Chairman of the dissertation Council _____

(signature, surname and initials)

Scientific Secretary of the dissertation Council _____

(signature, surname and initials)

Print date " ____ " _____ 20__ year

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Annex 2
to the Provision on
Dissertation board

Chairman of the Dissertation Council
on defense of doctoral dissertations on
award of the degree of doctor of philosophy (PhD),
doctors on profile on 20__ __ year

(the cipher of the dissertation Council)
on the basis _____

(name of the organization on the basis of which
dissertation Council established)

from _____
(surname, name, patronymic)

Statement*

Please accept for consideration and defense of my thesis on


(dissertation title)
for the degree of doctor (philosophy (PhD) / doctor in profile) in the
specialty _____
(branch of science)

Protection of work is carried out for the first time (repeatedly).

Consent (EN) - (na) to the inclusion of my personal data in the certification case and their further processing. I confirm that all data and results submitted to the protection are genuine and original and, except for specially specified cases, received by me personally.

Number, signature.

* The applicant's application is written by hand

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Annex 3
to the Provision on
Dissertation board


LIST of scientific and educational works of doctoral student

(name of the University)

(F. I. O.)

№	Title	Nature of work	Publisher, magazine (title, number, year) number of the author's certificate	Volume	Name of co-authors
1	2	3	4	5	6
Publications in international peer-reviewed scientific journals					
1					
Publications in publications recommended by the CCSON of the MES RK					
2					
3					
4					
Publications in proceedings or abstracts of international conferences					
5					
6					
7					
Else					

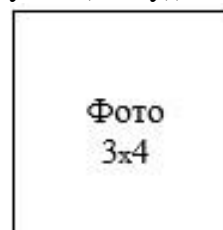
Note: copies of publications should be attached to the list of scientific published works

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Annex 4
to the Provision on
Dissertation board

Information about the doctoral student

(surname, name, patronymic (if any))




1	Date and place of birth, citizenship, nationality		
2	Information about doctoral studies (UNIVERSITY and period of study)		
3	Specialty of doctoral studies		
4	Place of defense and date of defense of the thesis		
5	Theme and language of the dissertation		
6	Scientific consultant (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 publications recommended by the Committee		
	in the foreign edition of the database Web of Science (Web of science) or Scopus (Scopus)		
	in proceedings of international conferences, including: in the materials of foreign conferences		
9	Labour activity		
Date		Place of work, position	Location of the institution
приема	увольнения		
10	Place of residence, contact details		

Scientific Secretary of the dissertation Council

(signature, surname and initials)

Print, date " __ " _____ 2019 year

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Annex 5
to the Provision on
Dissertation board

List of members of the
dissertation Council

Meeting of the Board of Directors " ___ " _____ 20__ year, Protocol no. _____
 doctoral dissertations _____

(surname, name, patronymic (if any))

specialty (direction of training) _____

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

Scientific Secretary of the dissertation Council _____
 (signature, surname and initials)