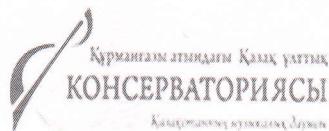


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Republican State Institution
Kurmangazy Kazakh National
Conservatory
Ministry of Culture and Sports of the
Republic of Kazakhstan

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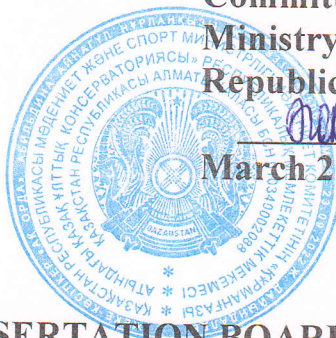
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DISSERTATION BOARD REGULATION

Reg. № *ИДК-04-23*

Almaty city

Approved by
Rector
RSI Kurmangazy Kazakh National
Conservatory
Committee of Culture
Ministry of Culture and Sports
Republic of Kazakhstan



A.A. Zhudebayev
A.A. Zhudebayev
March 29, 2023

DISSERTATION BOARD

Drafted by:

Scientific Secretary of the Dissertation
Board

A.S. Nussupova

A.S. Nussupova

27.03.2023

Agreed with:

Vice-Rector for Scientific and Creative
Activities and International Cooperation

G.Z. Begembetova

G.Z. Begembetova

27.03.2023

Head of the Quality Management Sector

D.D. Urazymbetov

D.D. Urazymbetov

27.03.2023

Chief Anti-Corruption Administrator

O. Omaruly

O. Omaruly

27.03.2023

Head of Legal Department

O.K. Tlegenova

O.K. Tlegenova

27.03.2023

Position

Signature

Full name

Date

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1. GENERAL PROVISIONS

1. This Regulation on the Dissertation Board in a new edition was developed in accordance with subparagraph 13), Article 4, the Law of the Republic of Kazakhstan "On Science" dated February 18, 2011, paragraph 4 of the Dissertation Board Model Regulation approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 126 dated 31 March 2011, in accordance with subparagraph 14), Article 4, the Law of the Republic of Kazakhstan "On Science" dated February 18, 2011, paragraph 1 "On Approval of the Degrees Awarding Rules" approved by the Order of the Minister of Education and Science of the Republic of Kazakhstan No. 127 dated March 31, 2011, No. 56 dated 21/01/2016 of the RK MES "On amendments and additions to the order of the Ministry of Education and Science of the Republic of Kazakhstan" dated March 31, 2011, as well as in accordance with the Law of the Republic of Kazakhstan "On amendments and additions to some legislative acts of the Republic of Kazakhstan on academic and administrative independence of higher education institutions" dated July 4, 2018 No. 171-VI ZRK and in accordance with Article 43-1 of the adopted Law of Kazakhstan "On Education", "Activities and competence of organizations of higher and (or) postgraduate education" paragraph 4, which provides that organizations of higher and (or) postgraduate education **with a special status** also have the right to award the degree Doctor of Philosophy (PhD) and profile Doctor degree in accordance with the procedure determined by the authorized body in the field of education, as well as changes made to the following regulatory legal acts (Orders of the Minister of Education and Science of the Republic of Kazakhstan No. 512 dated 28/09/2018, No. 170 dated 30/04/2020 and No. 98 dated 09/03/2021 and 09.01.2023).

In this Dissertation Board Regulation the following concepts are used:

- 1) Dissertation Boards – are collegiate bodies at organizations of higher and (or) postgraduate education (hereinafter – the Higher Education Institution), which conduct doctoral students' dissertations defense;
- 2) Doctor of Philosophy (PhD), profile doctor - degrees awarded to persons who have mastered the doctoral program in the scientific and pedagogical direction or the relevant field of professional activity and defended a dissertation in the Republic of Kazakhstan or abroad, recognized in the manner established by the legislation of the Republic of Kazakhstan.
- 3) attestation file - a package of documents submitted for the award of the degree of Doctor of Philosophy (PhD), profile doctor to Kurmangazy Kazakh National Conservatory of the Ministry of Education and Science of the Republic of Kazakhstan (hereinafter referred to as Kurmangazy KNC);
- 4) dissertation - a qualifying scientific work defended in the Republic of Kazakhstan or abroad in a specific specialty within the framework of an academic program for training a doctor of philosophy (PhD), a profile doctor;

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2. The Dissertation Board at Kurmangazy Kazakh National Conservatory has a special status and is a collegiate body, the Dissertation Board where dissertations of doctoral students are defended with the right to award the degree of Doctor of Philosophy (PhD), profile doctor, subject to the requirements of paragraphs 12 and 17 of the Model DB Regulations.

3. The Dissertation Board is established at Kurmangazy KNC for 3 (three) calendar years. In the Higher Education Institutions, dissertation boards are established independently. Information on the establishment of a dissertation board is posted on the Institution website within 5 (five) working days from the date of issuance of the order of the first head of the Institution.

4. This Dissertation Board (hereinafter DB) Regulation has been developed in accordance with the Model DB Regulations in a new edition. It reflects the doctoral candidate documents accepting procedure, the procedure for admission to defense, the defense of the dissertation, checking a dissertation for plagiarism, the re-defense and appeals procedure.

5. At the end of the calendar year, the Dissertation Board submits a report on the completed work to the Committee for Quality Assurance in Education and Science of the Ministry of Education and Science (hereinafter referred to as the Committee) in the form provided in Appendix 1 to this DB Regulation.

Dissertation Board at Kurmangazy KNC which has a special status, with the right to award the degree of Doctor of Philosophy (PhD), profile doctor, submits to the Committee a quarterly report on the decisions taken by the Dissertation Board on the award (refusal to award) the degrees of Doctor of Philosophy, profile doctor in the form provided in Appendix 2 to these DB Regulations.

6. According to paragraph 3-1 of the "Degrees Awarding Rules" approved by order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 12 7 and registered in the State Normative Legal Acts Register under No. 6951, doctoral students who defended dissertations before the Dissertation Boards entitled at organizations of higher and (or) postgraduate education (hereinafter referred to as the Higher Education Institution), having a special status, are awarded the degree of Doctor of Philosophy (PhD) and profile doctor by the University.

7. "18. The Republic of Kazakhstan recognizes diplomas of degrees issued **in accordance with the procedure established by the current legislation.**

8. All costs associated with the activities of the Dissertation Board including the payment of expenses associated with the allocation of premises for board meetings, the processing of attestation files for doctoral students, the secondment of nonresident members of the council, is assigned to Kurmangazy KNC. The remuneration of the Chairman, Academic Secretary, members of the Dissertation Board and official reviewers is to be covered by extrabudgetary funds of Kurmangazy Kazakh National Conservatory.

Kurmangazy KNC provides:

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1) the necessary conditions for holding meetings of the Dissertation Board and public defense of dissertations including through the use of information and communication technologies, software and hardware;

2) verification of dissertations in licensed anti-plagiarism detection systems, including international databases. Higher education institutions ensure the work of the Plagiarism Checking Commission;

3) reimbursement of expenses related to the activities of the Dissertation Board including travel expenses of members of the Dissertation Board.

If the dissertation is submitted in English, then a more detailed annotation in the state or Russian languages shall be attached. If necessary, the Dissertation Board invites a translator. The translator is paid on an hourly basis.

9. Kurmangazy KNC, where a Dissertation Board has been established, is obliged to: keep a copy of the dissertation in the library of the Higher Education Institution; keep a copy of the attestation file for ten years in accordance with Appendix 11 to this DB Regulation; create conditions for the work of the Dissertation Board by allocating premises for the work of the Chairman and the Academic Secretary; provide organizational and technical work including the arrangement of attestation files of applicants, dissertations defense documentation; bear the costs associated with the consideration and defense of dissertations; ensure the transparency of the work of the Dissertation Board; draw up the requests of the Dissertation Board necessary for making an objective decision.

10. The dissertation is prepared in compliance with the principles of independence, internal unity, scientific novelty, reliability and practical value and academic honesty. The principle of independence means that the thesis is written independently and testifies to the personal contribution of the author of the dissertation to science.

The principle of internal unity means that the dissertation has internal unity, all sections and provisions of the dissertation are logically interconnected; scientific provisions, the results obtained and recommendations should correspond to the goals and objectives set in the dissertation. The new solutions proposed by the author (principles, methods) are argued and evaluated in comparison with the solutions known.

The principle of scientific novelty means that the scientific results, provisions, recommendations and conclusions of the dissertation are new, and the dissertation contains new scientifically substantiated theoretical and (or) experimental results the totality of which qualifies as a new scientific achievement or is important for the development of specific scientific areas;

The principle of reliability means that the results of the dissertation work are obtained using proper scientific methods of scientific research and methods of processing and interpreting data using computer technology (if applicable);

The principle of the practical value of a dissertation means that a dissertation of applied importance provides information on the practical use of the scientific results obtained by the author, confirmed by copyright certificates, patents, intellectual property certificates, certificates of implementing into production and other official

documents, and a dissertation of theoretical significance contains recommendations for the use of scientific findings.

The principle of academic honesty means that the author of the dissertation observes the rights and legitimate interests of other authors, the absence of:

- the use and (or) appropriation of text, ideas, hypotheses, conclusions, methods, research results, graphs, codes, pictures or works of other authors without reference to the author and source of borrowing as well as the use of the text of other authors with a synonymous replacement of words and expressions without changes in meaning including texts translated from another language (plagiarism);
- facts of using own material, factual and digital data without reference to oneself and (or) to the source of one's own citations (autoplagerism);
- references to non-existent sources, provision of false data and (or) results, records or reports about them (fabrication);
- manipulation of research materials, images, illustrations or processes as a result of which the research materials in the dissertation are distorted (falsification).

The coincidence of the names of regulatory legal acts and official documents, the names of state and other official bodies and organizations, terms, definitions and concepts generally accepted for the relevant branch of science, texts of regulatory legal acts, and texts in the works under study is not plagiarism, if the volume and nature of their use are not put under doubt the independence of the completed dissertation. It is not allowed to use technical means and techniques to reduce or eliminate the possibility of detecting plagiarism.

University independently establishes requirements for the design of dissertations including international citation styles used in dissertations (Harvard style (Harvard style), APA (American Psychological Association) Style (APA Style), MLA (Modern Language Association) Style (MLA Style), Chicago Style (Chicago Style), ACS (American Chemical Society) Style (ACS Style) or others depending on the direction of training).

2. MEMBERSHIP OF THE DISSERTATION BOARD TO AWARD THE DEGREE OF DOCTOR OF PHILOSOPHY (PHD), PROFILE DOCTOR

The Dissertation Board consists of a Chairman, Vice-Chairman, Scientific Secretary and the Board members. The Dissertation Board consists of at least 6 (six) people who have an academic degree (candidate of science, doctor of science, doctor of philosophy (PhD), doctor of profile) or academic degree of doctor of philosophy (PhD), profile doctor or Ph.D. PhD), profile doctors.

At least 50% (fifty) members of the Dissertation Board are representatives of other universities, scientific and (or) other organizations.

50% (fifty) members of the Dissertation Board are permanent members including the chairman, deputy chairman and academic secretary.

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50% (fifty) members of the Dissertation Board are appointed temporarily for the period of defending a doctoral student depending on the topic of doctoral research.

At the same time, for the areas of study 8D02 Arts and Humanities, in case of defending a doctoral student who does not have an article in an international peer-reviewed publication in accordance with paragraph 6 of the Degrees Awarding Rules approved by order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 127 (registered in the state normative legal acts Register under No. 6951) at least 1 (one) foreign scientist is involved in the temporary structure of the Dissertation Board with a verbal presentation of a review of the dissertation work of a doctoral candidate whose main place of work is a university included in the top 200 of the international ranking Academic Ranking of World Universities (Academician Ranking of World Universities) or Times Higher Education World University Rankings (Times Higher Education World University Rankings) or US News Best Global Universities Rankings (US News Best Global Universities Rankings), or has published at least 2 in the last 5 years (two) articles and (and or) reviews in journals indexed in the Web of Science Core Collection database (Web of Science Core Collection) (sections Arts and Humanities Citation Index (Arts and Humanities Citation Index), Social Sciences Citation Index (Social Science Citation Index)).

Scientific advisers as well as persons affiliated with a doctoral student or his scientific adviser, are not appointed as temporary members of the Dissertation Board:

- 1) close relatives – parents, children, adoptive parents (adopters), adopted children, brothers and sisters, grandfathers, grandmothers, grandchildren, spouse, in-laws;
- 2) employees of organizations with which the doctoral student or scientific consultant has labor or other relations that involve receiving financial or other resources from them;

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

12. The Dissertation Board membership shall not include:

- 1) the Head of the University under whose administration the Dissertation Board was established;

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

- 3) specialists who were scientific consultants, supervisors of dissertations received the Committee's negative decision over the past 5 (five) years.

The Dissertation Board is accountable to the Head of the organization, uses the seals and letterheads of Kurmangazy KNC.

13. One of the members of the HEI Dissertation is a foreign scientist. Requirements to the publications of the Dissertation Board members is defined by the Higher Education Institution with a special status independently.

Requirements to the membership of the Dissertation Board of the Higher Education Institution entitled to award the degree of Doctor of Philosophy (PhD), profile doctor:

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In Dissertation Boards at HEI, at least 2/3 (two thirds) of members have an Hirsch index of 1 (one) or publications in peer-reviewed international scientific journals:

1) for other areas of teaching at least 2 (two) publications over the past 5 (five) years in publications indexed in the Web of Science Core Collection database, Arts and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index and included in the first three quartiles according to Journal Citation Reports of Clarivate Analytics or having at least 35 (thirty-five) CiteScore percentile in the Scopus database in at least one of the scientific fields corresponding to the field of study.

2) It is counted as 2 (two) scientific articles in international peer-reviewed scientific journals, a monograph published in domestic or foreign publishing houses. If there is a chapter in the above monograph (the applicant owns at least 3 printed sheets), it is counted as 1 (one) article in an international peer-reviewed scientific journal.

3) and (or) at least 5 (five) publications in journals included in the List of scientific publications recommended for the publication of the main results of scientific activity (hereinafter referred to as the List of Publications).

To accept a dissertation for defense, a conclusion by the Ethics Commission of the Higher Education Institution on the absence of violations of research ethics in the process of performing and writing a dissertation, is required.

14. The permanent membership and changes in it as well as the chairman, deputy chairman and science secretary of the Board shall be approved by order of the rector on the basis of the decision of the Academic Board of Kurmangazy Kazakh National Conservatory. Travel expenses of non-resident DC members shall be reimbursed at the expense of the Higher Education Institution where the Board functions.

15. The Dissertation Board members shall be responsible for the objectivity and validity of the decisions made, as well as:

- 1) provide objective, complete and reliable information;
- 2) not allow concealment of data related to the defense of the dissertation;
- 3) react to facts of violation of scientific ethics;
- 4) when making a decision, shall be free from the influence of public opinion, one of the parties or third parties;
- 5) take measures to prevent and resolve conflicts of interest;
- 6) in the course of their activities not use rude, offensive language, accusations that damage the honor and dignity of other members of the Board, doctoral students, scientific consultants and reviewers.

In case of any facts of violation of the requirements established in this paragraph, a member of the Dissertation Board shall be withdrawn from the Board membership in the manner established by the Higher Education Institution independently.

3. THE DISSERTATION BOARD ESTABLISHMENT AND ACTIVITY ORDER

16. Dissertation Boards shall be established for 3 (three) calendar years and function if there are the relevant areas of training in the Higher Education Institution:

1) licenses and (or) Appendixes to the license to engage in educational activities under the doctoral program;

2) doctoral academic programs in the Register of academic programs in accordance with paragraph 2 of Article 22 of the Law of the Republic of Kazakhstan "On Education" (hereinafter referred to as the Law);

3) accredited doctoral academic programs included in the Register of accredited academic programs in accordance with subparagraph 10), Article 5 of the Law;

4) the state educational order for 1, 2 and 3 years of study allocated in accordance with subparagraph 2-1), Article 5 of the Law.'

5) anti-plagiarism computer software.

17. To open the Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD) and profile doctors, the Higher Education Institutions shall send the following documents to the Committee:

1) information on the availability of the state educational order in the relevant specialty (field of study) of doctoral studies;

2) information about the availability of specialized accreditation of doctoral programs;

3) information about the Dissertation Board members included in the form provided in Appendix 3 to this Regulation;

1) copies of statements of the Dissertation Board members on consent to including in the Dissertation Board;

2) copies of a document confirming the existence of the anti-plagiarism software program.

18. Dissertation boards entitled to award the degree of Doctor of Philosophy (PhD), profile doctors shall be established by the Higher Education Institutions that have a special status, independently. Information on the Dissertation Board in accordance with subparagraphs 1), 2), 3), 4) and 5), paragraph 17 of this Regulation shall be posted on the Internet resource of the Higher Education Institution within 5 working days from the date of the Rector's order.

Kurmangazy KNC, where the Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD) and profile doctor, is established, shall notify the Committee about the membership, changes in the membership and termination of the Dissertation Board within 10 working days from the date of the decision of the Academic Board.

19. The Committee shall monitor the activities of the Dissertation Board at Kurmangazy KNC for compliance with the requirements of the Model Regulations

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on the defense procedure, the Dissertation Board membership, and the placement of the required documents on the Internet resource.

In case of violation of the established requirements, the Committee shall send comments to the Dissertation Board within 3 working days. If there are 3 or more comments from the Committee, the chairman, deputy and scientific secretary shall be replaced.

20. Functions of the Dissertation Board:

- 1) acceptance of documents for the thesis defense;
- 2) appointment of the Dissertation Board temporary members, dates for defense and dissertation work official reviewers;
- 3) establishment of the commission from among the members of the Dissertation Board (hereinafter referred to as the Commission of the Dissertation Board) to check the dissertation for using by a doctoral student of the borrowed material without reference to the author and source of borrowing (plagiarism);
- 4) conducting a public defense of a doctoral dissertation;
- 5) withdrawal of the dissertation work from defense;
- 6) decision on the dissertation.

21. The activities of the Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD), profile doctor may be terminated for the following reasons:

- 1) in case of 3 (three) or more decisions of the Board on dissertations defended by it on the basis of which the doctoral student is not given a degree or the dissertation is sent for revision or re-defense;
- 2) deprivation of a license for the right to conduct educational activities in the relevant areas of doctoral training;
- 3) the end of the accreditation period for the doctoral academic program.

Violation of the requirements established in this Model Regulation more than 3 (three) times by the Dissertation Board is the basis for closing the Dissertation Board.

4. PROCEDURE FOR DOCUMENTS ADMISSION AND DEFENSE AT THE DISSERTATION BOARD

22. The Dissertation Board listens to a dissertation submitted by a doctoral candidate in the form of a dissertation work in accordance with the requirements of paragraph 5-1 of the Degrees Awarding Rules approved by order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 127 (registered in the Register of State Registration of Normative Legal Acts under No. 6951) (hereinafter referred to as the Rules).

23. The Higher Education Institution where the doctoral student was trained shall provide a discussion of the doctoral candidate's dissertation at an extended meeting of the department and (or) structural divisions of the Higher Education Institution.

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At least 2/3 (two thirds) of the members of the department and/or structural divisions, scientific consultants as well as representatives of related departments, reviewers, members of the Academic or Academic structural division, scientific consultants and representatives of related departments and (or) structural divisions of the Higher Education Institution, scientific and other organizations, practitioners (for dissertations of an applied nature).

If no foreign consultant is available, the doctoral dissertation review at the meeting shall be read out by the head of the department and (or) structural division of the Higher Education Institution or his/her deputy.

1 (one) month before the extended meeting of the department, the dissertation shall be sent to 2 (two) specialists with an academic degree (doctor of science, doctoral candidate of science, doctor of philosophy (PhD), profile doctor) or an academic degree of doctor of philosophy (PhD), profile doctor or the degree of Doctor of Philosophy (PhD), Doctor in the field of doctoral studies, one of which is an employee of the Higher Education Institution (internal reviewer), and the second is a representative of related departments (departments, centers), scientific and other organizations (external reviewer). Both reviewers shall be required to provide written reviews based on the study of the content of the dissertation and publications of the doctoral candidate.

This review should contain the following points: the relevance of the research topic, scientific results and their validity, novelty, practical and theoretical significance of the research, the completeness of the dissertation materials published, comments and recommendations. Reviews shall be issued to the doctoral student no later than 7 (seven) days before the department meeting.

Discussion of the dissertation at a meeting of the department at the place of the dissertation includes the following: 1) speech by the department head (covers the dates of approval of the topic of the dissertation research and scientific consultants, the terms and place of scientific internships in the framework of the doctoral program); 2) doctoral candidate's presentation; 3) questions of the department meeting participants - doctoral student's answers; 4) presentation of scientific consultants, in the absence of a foreign consultant, the announcement of his feedback; 5) speeches of reviewers; 6) doctoral candidate's responses to reviewers' comments and conclusions based on their wishes and recommendations; 7) discussion of the department meeting participants; 8) the conclusion shall be made by open voting, by a simple majority of votes. Doctoral students of other universities shall go through the dissertation discussion procedure at a meeting of the Department of Kurmangazy KNC, optionally.

The conclusion over the dissertation on recommending or not recommending for defense shall be drawn up in the form of an extract from the minutes of the department meeting, signed by the department head, certified by the head of the document control department and approved by the Vice-Rector for Scientific Work and International Relations of KNC Kurmangazy. The conclusion should contain: the relevance of the research topic, the scientific results and their validity, the practical

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and theoretical significance of the scientific results, the completeness of the dissertation materials published in the press in accordance with the requirements of clause 26 of these Regulations, comments and suggestions, the conclusion recommending or not recommending for defense.

24. Doctoral students who have fully mastered the academic programs of doctoral studies and submitted dissertations drafted in accordance with the requirements of paragraphs. 5-8 "Degrees Awarding Rules" approved by the order of the Minister of Education and Science of the Republic of Kazakhstan No. 126 dated March 31, 2011, and the order No. 56 dated 21.01. 2016 of the Ministry of Education and Science of the Republic of Kazakhstan "On Amendments and Additions to the Order of the Ministry of Education and Science of the Republic of Kazakhstan dated 31.03.2011. No. 126", in accordance with the Law of the Republic of Kazakhstan dated July 4, 2018, No. 171-VI ZRK "On amendments and additions to certain legislative acts of the Republic of Kazakhstan No. 7 dated 09.01.2023, on issues of expanding the academic and managerial independence of Higher Education Institutions."

The basis for preliminary consideration and further defense before the Dissertation Board shall be a cover letter on the letterhead of the Higher Education Institution where the doctoral candidate was trained.

Doctoral students of Kurmangazy KNC shall not submit a cover letter to the Dissertation Board operating under Kurmangazy KNC.

25. After receiving a positive conclusion from the extended meeting of the department and (or) the structural unit of the Higher Education Institution, the doctoral candidate shall write a statement to the Rector of the Higher Education Institution about the choice of the Dissertation Board where a defense shall take place. If the doctoral student indicates the Dissertation Board of another Higher Education Institution, then the Higher Education Institution where the doctoral candidate was trained shall send his documents to the Dissertation Board within 10 working days.

Doctoral students of higher educational institutions are allowed to defend dissertations before the Dissertation Boards of other Higher Education Institutions in the absence of a Dissertation Board in the relevant specialty in this Higher Education Institution.

26. The following documents shall be submitted to the Dissertation Board:

1) an application addressed to the chairman of the Dissertation Board for admission to the defense;

2) a dissertation in hardcover in 3 (three) copies and on an electronic medium (CD-disk);

3) abstract of the dissertation in three languages (Kazakh, Russian, English) with a total volume of at least 1 (one) printed sheet in electronic and printed form;

4) reviews of domestic and foreign scientific consultants, certified at the place of work of the consultant in 2 (two) copies in the form provided in Appendix 6 to this Regulation. The translation of the opinion of a foreign consultant must be notarized;

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5) minutes of the extended meeting of the department and/or laboratory (department, center) in 2 (two) copies where the dissertation was drafted, with a positive conclusion and recommendation for defense;

6) a list of scientific papers certified by the academic secretary of the Higher Education Institution where the doctoral candidate was trained and their copies, 2 copies;

7) personal certificate certified at the place of study by the personnel department of the Higher Education Institution, 2 copies;

8) a copy of the transcript on mastering the professional doctoral curriculum, 2 copies;

9) characteristics of the doctoral candidate, on behalf of the head of the department where the dissertation was executed, dated before the submission of the application to the Dissertation Board. The signature shall be affixed with the official seal, 2 copies;

10) extract from the protocol of the Academic Board on the approval of the topic and scientific consultants, 2 copies;

11) an extract from the protocol of the Expert Advisory Board (hereinafter - EAB) of Kurmangazy KNC on admission to the defense (for doctoral students studying at Kurmangazy KNC);

12) copies of diplomas of higher and postgraduate education and their supplements (copy of transcripts), 2 copies, notarized and dated prior to submitting the application to the Dissertation Board;

13) feedback of 2 (two) reviewers from the extended meeting of the department at the place where the dissertation was executed, 2 copies;

14) a certificate on submitting the dissertation work to the library of the Higher Education Institution, where the Dissertation Board functions.

15) the conclusion of the Ethics Commission of the Higher Education Institution in the form provided in Appendix 10 to this Regulation, where the doctoral student studied, about the absence of violations in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research including protecting the rights, safety and well-being of research objects (wildlife and habitat objects).

The dissertation shall be submitted in one of the following languages - state, Russian or English.

Documents shall be registered by the Academic Secretary of the Dissertation Board within a period of at least 2 (two) working days and submits them to the Dissertation Board.

The permanent Board members shall appoint temporary members of the Dissertation Board in accordance with the requirements of paragraph 11 of this Model Regulation at the Dissertation Board meeting for accepting a dissertation for defense.

27. The main scientific results of the dissertation for the degree of Doctor of Philosophy (PhD), Doctor of profile are published before the defense of the dissertation in scientific publications included in the List of scientific publications recommended for the publication of the main results of scientific activity (hereinafter referred to as the List of Publications), and (or) in international peer-reviewed scientific journal.

An international peer-reviewed scientific journal has an impact factor according to the Journal Citation Reports (hereinafter referred to as JCR) and is indexed in the Web of Science Core Collection database, Art and Humanities Citation Index, Science Citation Index Expanded, Social Sciences Citation Index of Clarivate Analytics or has a certain CiteScore percentile in the Scopus database.

Requirements for publications for admission to defense:

For academic programs related to the Kazakh language and literature, Kazakh philology, history of Kazakhstan, Kazakh philosophy of academic programs groups (hereinafter – APG) "D017 – Training of teachers of the Kazakh language and literature", "D016 – Training of history teachers" and "8D060 – Philology", "D050 – Philosophy and Ethics" and "D053 – History" of the field of study "8D01 – Pedagogical Sciences" and "8D02 – Arts and Humanities" for admission to the defense, it is allowed to have:

– at least 1 (one) article or review in an international peer-reviewed scientific journal indexed in the Web of Science Core Collection database in the Arts and Humanities Citation Index section or having a percentile indicator according to CiteScore at least 25 (twenty five) in the Scopus database (Scopus) and 3 (three) articles in journals from the List of Publications;

– or at least 5 (five) articles in journals from the List of Publications, one of which is in English, and 2 (two) oral presentations at international scientific conferences.

If there is one scientific article in a journal that is included in the first quartile in terms of impact factor according to JCR or has a CiteScore percentile of at least 75, no other publications are required.

Publications in international peer-reviewed scientific journals, conference proceedings correspond to the content of the dissertation and the thematic focus of the journal and conference stated in the specified databases, are published on the official website of the journal, in current issues and have the type Article, Review or Article in Press, Conference Paper, Proceedings. Publication in international peer-reviewed scientific journals with an interdisciplinary direction (Multidisciplinary) is allowed.

If the indexation of an international peer-reviewed scientific journal in the Scopus and/or Web of Science database is terminated due to violations, then the applicant's publications in this journal for the year in which indexation was terminated and for the previous year are not taken into account.

The journal quartile in the Web of Science database and (or) the CiteScore percentile in the Scopus database is considered for the year of publication or for the year preceding the year of publication.

28. The Dissertation Board appoints an expert from the Board members in the specialty of the thesis being defended, who, within 5 (five) working days from the date of appointment, submits a conclusion to the Dissertation Board, on the basis of which the Dissertation Board makes one of the following decisions:

- to recommend the dissertation for public defense;
- to recommend the dissertation for public defense after the elimination of the identified comments;
- to reject the dissertation to eliminate the Dissertation Board's comments and re-examine at the department meeting at the place of execution.

29. Not later than 10 (ten) working days from the date of receipt of the documents, the Dissertation Board determines the date and time of the defense of the dissertation and appoints two official reviewers who have an academic degree (candidate of science, doctor of science) or an academic degree of a doctor of philosophy (PhD), a profile doctor or the degree of Doctor of Philosophy (PhD), profile doctor and at least 5 (five) scientific articles in the field of doctoral research, which is issued in the form of an extract from the minutes of the meeting of the Dissertation Board with a list of the main publications of the reviewer. When setting the date of the defense, the order of receipt of documents of doctoral students shall be observed.

Members of the Dissertation Board (no more than 1/3) are allowed to attend the meeting on accepting a dissertation for defense in the form of a video conference. Two dissertations can be defended at one meeting of the Dissertation Board.

The date of defense should not exceed more than 3 (three) months from the date of appointment of the defense date. When setting the date of the defense, the order of receipt of documents of doctoral students shall be observed.

30. When appointing reviewers, the Dissertation Board shall be guided by the principle of independence from each other of reviewers and scientific consultants.

Official reviewers shall not be:

- 1) employees of the Board;
- 2) co-authors of a doctoral student on papers published on the topic of the dissertation;
- 3) heads and employees of the departments of the Higher Education Institution and the scientific organization of the structural units (departments, units, centers) where the dissertation was executed and/or research work is being carried out, for which the doctoral student is the customer or executor (co-executor).

4) specialists who were scientific consultants or official reviewers who provided a positive opinion on dissertations that received a negative opinion of the Dissertation Board for the dissertation content over the past 3 (three) years.

One of the reviewers is not an employee of this Higher Education Institution or the Higher Education Institution where the doctoral student studied.

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31. The Dissertation Board places the following information about the defense of doctoral students and the activities of the Board on the Internet resources of the Higher Education Institution:

1) notice of the upcoming defense indicating information about the doctoral student, temporary members of the Dissertation Board and official reviewers, the dissertation submission form, address, date and time 1 (one) month before the date of the defense, available on a permanent basis);

2) the dissertation (1 (one) month before the date of defense), as well as all its versions modified according to the comments of the Dissertation Board with the appropriate notes on the title page (available on a permanent basis);

3) annotation in Kazakh, Russian, English with a total volume of not more than 15 pages (1 (one) month before the date of protection). The abstract describes the topic, the purpose of the dissertation, research objectives, research methods, the main provisions (proven scientific hypotheses and other conclusions that are new knowledge) submitted for defense, a description of the main research results, justification of the novelty and importance of the results obtained, compliance with the directions of science development or state programs, a description of the doctoral candidate's contribution to the preparation of each publication;

4) a list of doctoral student publications (1 (one) month before the date of the defense);

5) reviews of scientific consultants (1 (one) month before the date of the defense), which are available for at least 5 (five) months after the defense in the form provided in Appendix 6 to these Regulations;

6) feedback of official reviewers (10 (ten) business days before the date of protection) in the form provided in Appendix 7 to these Regulations;

7) video recording of the defense in full, editing is not allowed (posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);

8) the conclusion of the Dissertation Board on sending the dissertation work for revision, re-defense or on the refusal to award the degree of Doctor of Philosophy (PhD), profile doctor (to be posted within 5 (five) working days after the defense and available for at least 5 (five) months after the defense);

9) decision of the appeal commission (if any, posted within 5 (five) business days after the decision is made and available for at least 5 (five) months after the decision is made);

10) report on the work of the Dissertation Board in accordance with Appendix 1 to this Model Regulation (posted within 15 (fifteen) working days after the end of the calendar year);

11) a quarterly report on the decisions taken by the Dissertation Boards on the award (refusal to award) the degrees of Doctor of Philosophy (PhD), profile doctor in accordance with Appendix 2 to this Model Regulation (for Dissertation Boards at Higher Education Institutions with a special status). The quarterly report shall be

posted within 5 (five) working days after the end of the quarter and be available during the period of activity of the Dissertation Board;

12) information on issuance of the diploma on awarding the degree of Doctor of Philosophy (PhD), profile doctor (for Dissertation Boards at Higher Education Institutions with a special status);

13) announcements about changing the date, time, place of the defense and about replacing official reviewers (if any);

14) information on the Dissertation Board membership and the procedure for the activities of the Dissertation Board;

15) information on the availability of a licensed system for detecting borrowings including in international databases, indicating the validity period;

16) the conclusion of the Ethical Commission of the Higher Education Institution (in the form provided in Appendix 11 to this Model Regulation), where the doctoral student studied, about the absence of violations in the process of planning, evaluating, selecting, conducting and disseminating the results of scientific research including protection of the rights, safety and well-being of research objects (wildlife and habitat objects);

17) information on organizing an online meeting of the Dissertation Board in the form of a videoconference.

32. When placing a dissertation on the Internet resources of the Higher Education Institution, copyright protection shall be provided, technologies shall be used to protect against illegal copying and further use of dissertation materials. After the dissertation is posted on the Higher Education Institution's Internet resource, changes in the dissertation text are not allowed.

After the dissertation work has been posted on the Higher Education Institution's Internet resource and/or accepted for the dissertation (in case of defending dissertations containing state secrets or information for official use), changes in it are not allowed. In case of finalizing the dissertation work, its final version shall be posted on the Higher Education Institution's Internet resource after a decision has been made to award the degree of Doctor of Philosophy (PhD) or profile doctor with the note: "The final version of the dissertation work".

It should be possible to place unofficial reviews on the content of the dissertation with their further presentation at the defense on the Internet resources of the Higher Education Institution. Unofficial reviews on which it is impossible to establish authorship and there is no author's email address, shall not be presented for defense.

33. Notification of the forthcoming defense shall be sent by the Dissertation Board to the Committee within 5 working days from the date of admission to the defense.

34. The Dissertation Board shall send on the letterhead of Kurmangazy KNC the dissertation to be checked for the use of plagiarism by a doctoral student in domestic and international databases to the Joint-Stock Company "National Center for State Scientific and Technical Expertise" (hereinafter referred to as NCST) within

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10 (ten) working days after being accepted for defense. The title page and the list of used sources shall not be checked for plagiarism. The cost of obtaining this certificate is the responsibility of the doctoral candidate.

The NCST shall ensure that the text of the dissertation is placed in the public domain on its Internet resource within 10 (ten) working days from the date of receipt. The dissertation shall be available on a permanent basis.

A certificate issued by the National Center for Science and Technology on the results of the verification must be submitted before the date of defense.

35. A copy of the dissertation on paper and electronic media shall be transferred to the library of Kurmangazy KNC (1 (one) month before the date of the defense), while the doctoral student provides the relevant document (certificate of submission of the dissertation to the library of Kurmangazy KNC) to the Academic Secretary.

Copies of the dissertation on electronic media shall be transferred by the Academic Secretary of the Dissertation Board to the National Academic Library of the Republic of Kazakhstan and the National Library of the Republic of Kazakhstan (except for dissertations containing state secrets and information for official use) within 7 (seven) working days after the defense.

36. Official reviewers submit written reviews to the Dissertation Board in the form provided in Appendix 7 to this Model Regulation based on the study of the dissertation and published works.

Official reviewers in their reviews shall indicate one of the following solutions:

1) to award the degree of Doctor of Philosophy (PhD) or profile doctor (in case of defending before the Dissertation Board at the Higher Education Institution with a special status);

2) send the dissertation for revision (except in cases of defending a dissertation in the form of a series of articles);

3) refuse to award the degree of Doctor of Philosophy (PhD) or profile doctor.

Copies of the reviews of official reviewers shall be handed over to the doctoral student no later than 10 (ten) working days before the defense of the dissertation.

Replacement of official reviewers shall be carried out in case of a written refusal or the impossibility of reviewing. If the decision to replace the official reviewer is made in less than 10 (ten) business days, the defense date shall be postponed.

37. Thesis defense should be of the nature of a scientific discussion. The meeting of the Dissertation Board shall be held under the guidance of the chairman of the Dissertation Board. A video recording shall be made, and the entire defense procedure shall be transcribed.

38. If there are facts of plagiarism indicated in the certificate of the National Center for Science and Technology, in the reviews of official reviewers and unofficial reviews on the Internet resource of the Higher Education Institution, the Commission of the Dissertation Board shall check the dissertation for plagiarism. The conclusion on the results of the verification shall be submitted to the

Dissertation Board no later than 8 (eight) working days before the defense of the dissertation.

39. The Dissertation Board decides on the admission of the doctoral student to the defense or withdraws the thesis from the defense based on the conclusion of the Commission of the Dissertation Board (no later than 7 (seven) working days before the defense). The Dissertation Board informs the doctoral student about the decision made within 2 (two) working days, and the relevant information shall be posted on the Higher Education Institution's Internet resource (except for cases of defending dissertations containing state secrets and information for official use).

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

40. The chairman, deputy chairman and scientific secretary of the Dissertation Board shall not perform their duties at a meeting of the Dissertation Board in case when the dissertation of a doctoral candidate whom they are scientific advisers for, is being considered. The duties of the chairman of the Dissertation Board shall be assigned to the deputy chairman, the duties of the deputy chairman and academic secretary shall be assigned to the members by the decision of the Dissertation Board.

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

The Dissertation Board provides a video recording of the dissertation defense in full, editing is not allowed.

41. The meeting of the Dissertation Board is considered competent if at least 2/3 (two thirds) of its members attend its work. Participation in the meeting of official reviewers and temporary members of the Dissertation Board is mandatory.

Members of the Dissertation Board and official reviewers are allowed to take part in the defense in the form of a videoconference.

Public defense of the dissertation is carried out in the mode of live online broadcast on the Internet.

41-1. Conducting an on-line meeting of the Dissertation Board in the form of a video conference is allowed on the basis of the decision of the Head of the Higher Education Institution.

The Higher Education Institution provides the necessary conditions for holding a meeting of the Dissertation Board through the use of information and telecommunication technologies, software and hardware.

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

Dissertation Board informs the doctoral student, members of the Dissertation Board, official reviewers about the on-line meeting of the Dissertation Board in the form of a video conference at least 5 working days before the dissertation defense by e-mail and announcement on the Board website. Other persons wishing to attend a meeting of the Dissertation Board shall send applications with a corresponding request to the Board chairman at least 2 (two) days before the meeting.

When holding an on-line meeting of the Dissertation Board in the form of a

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video conference, the following shall be provided:

- visual identification of meeting participants;
- the opportunity for meeting participants to hear and see each other;
- continuous video and audio broadcasting of the speeches of the meeting participants in the Internet network;
- secret ballot of members of the Dissertation Board.

The order of actions of the Dissertation Board in case of technical problems during the on-line meeting of the Dissertation Board in the form of a video conference shall be determined by the Higher Education Institution independently”;

42. The procedure for the Dissertation Board meeting for the defense of the dissertation includes the following:

- introductory speech of the chairman on the quorum, the eligibility of the meeting, the presentation of the doctoral student, the specialty he studied and the specialty the dissertation topics are defended in;
- speech of the scientific secretary to announce the compliance of doctoral student documents with regulatory requirements, indicating the completeness and compliance of scientific publications;
- doctoral candidate's speech (report up to 15 minutes);
- questions to the doctoral candidate, answers of the doctoral student;
- speech of scientific consultants;
- speech of the scientific secretary to announce the feedback received;
- doctoral student's responses to the comments of informal reviewers;
- speech of official reviewers;
- doctoral candidate's responses to the comments of the reviewers and conclusions on their recommendations;
- the Dissertation Board members' discussion;
- election of the counting commission in the amount of 3 people from the Dissertation Board, with the exception of the chairman;
- holding a secret ballot on the issue of requesting the award of a scientific degree;
- speech of the counting commission chairman on the secret ballot results, approval of the records of the counting commission;
- announcement of the public defense results;
- adoption of the conclusion by the Dissertation Board on the dissertation based on the defense;
- the final word of the doctoral student.

43. The Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD) and profile doctor, holds a secret ballot to make one of the following decisions:

- 1) to award the degree of Doctor of Philosophy (PhD) or profile doctor (in case of defense before the Dissertation Board at the Higher Education Institution with a special status);

2) to send the dissertation for finalization (only in case of defending a thesis in the form of a dissertation work);

3) to send the dissertation for re-defense;

4) to refuse awarding the degree of Doctor of Philosophy (PhD) or profile doctor.

The dissertation work shall be sent for revision if it contains minor comments on the text, the correction of which does not change the essence of the work. If the dissertation does not comply with paragraph 4 and (or) 6 of the Rules and (or) partially complies with the principles (except for the principle of academic integrity) specified in paragraph 5 of the Rules, then it is to be sent for re-defense. In case of violation of the principle of academic honesty or inconsistency with the principles of scientific novelty, internal unity, reliability, a decision shall be made to refuse awarding the degree of Doctor of Philosophy (PhD) or profile doctor.

44. Members of the Dissertation Board who are scientific consultants, direct supervisors or are in close relationship with the doctoral candidate shall not participate in the voting.

Official reviewers, whose votes are equivalent to the votes of members of the Dissertation Board, shall take part in the secret ballot.

The decision of the Board to award (or apply to the Committee for awarding) the degree of Doctor of Philosophy (PhD) or profile doctor is considered adopted if 3/4 (three quarters) or more of the persons participating in the vote voted for it.

The decision of the council to refuse to award the degree of Doctor of Philosophy (PhD) or profile doctor, to send the thesis for revision or for re-defense is considered adopted if 2/3 (two thirds) or more voted for it. If the specified number of votes is not collected, then a second secret ballot is held, at which a decision is to be made to send the dissertation for revision or re-defense, if the majority of the persons participating in the vote voted for it.

In case of a negative decision, the Dissertation Board draws up a conclusion, which reflects what requirements of the Model Regulation, this DB Regulation, the Degrees Awarding Rules, approved by order of the Minister of Education and Science of the Republic of Kazakhstan dated March 31, 2011 No. 127 (registered in the Register of State Registration of Regulatory Legal Acts No. 6951) (hereinafter - the Degrees Awarding Rules) does not correspond to the dissertation.

The conclusion of the Dissertation Board on the refusal to award the degree of Doctor of Philosophy (PhD) or profile doctor shall be posted on the Internet resources of the Higher Education Institution in accordance with subparagraph 8), paragraph 23 of the Model Regulation or in accordance with subparagraph 8), paragraph 31 of this DB Regulation.

45. When making a positive decision on defending the dissertation, the academic secretary of the council forms the doctoral candidate's attestation file within 30 (thirty) calendar days after defending the doctoral dissertation before the Dissertation Board and stores it in Kurmangazy KNC. The following documents shall be attached to the attestation file of a doctoral candidate:

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- 1) an application addressed to the chairman of the Dissertation Board for admission to the defense;
- 2) dissertation in hardcover and on electronic media (CD -disk);
- 3) a list and copies of scientific publications on the topic of the dissertation;
- 4) a certificate from the "National Center for State Scientific and Technical Expertise" (NCST) on checking the dissertation for the use of borrowed material by a doctoral student without reference to the author and source of borrowing;
- 5) reviews of scientific consultants in the form provided in Appendix 6, certified at the place of work (including a notarized translation of the review of a foreign scientific consultant in the language of writing the dissertation);
- 6) feedback of 2 (two) official reviewers in the form provided in Appendix 7, certified at the place of work;
- 7) attendance list of members of the Dissertation Board in the form provided in Appendix 4 to these Regulations;
- 8) video recording and transcript of the meeting of the Dissertation Board for the defense of the dissertation in the form provided in Appendix 8, signed by the chairman and scientific secretary;
- 9) copies of diplomas of higher and postgraduate education, Appendixes to them (copies of the transcript), (in case of changing the doctoral student's surname, a document confirming the replacement of the surname shall be provided);
- 10) a copy of the transcript on mastering the professional doctoral curriculum;
- 11) information about the doctoral student in the form provided in Appendix 5 to these Regulations;
- 12) a personal sheet certified at the place of study by the HR department of the Higher Education Institution;
- 13) records of the counting commission of the Dissertation Board in the form provided in Appendix 9;
- 14) record statement available in the file.

46. When making a decision to send for re-defense or to refuse to award the degree of Doctor of Philosophy (PhD) or profile doctor, the Dissertation Board draws up a conclusion reflecting which requirements of this Model Regulation and the Rules do not comply with the dissertation.

The re-defense of the dissertation work shall be provided no earlier than 6 (six) months after the previous defense in the manner prescribed by this Model Regulation. The Dissertation Board's temporary members and official reviewers shall be preserved. The dissertation shall be sent for re-defense no more than 2 (two) times.

47. When deciding to send for revision, the Dissertation Board shall adopt a conclusion containing specific comments on the dissertation work.

The finalized dissertation work shall be submitted to the Dissertation Board within three months, which can be extended for no more than 3 (three) months. The decision to extend the revision period shall be made by the Dissertation Board based on the application of the doctoral student. If the finalized dissertation work is not

submitted within the established timeframe, the doctoral student undergoes a second defense.

In case of full or partial disagreement of the doctoral candidate with the comments of the Dissertation Board, he/she presents reasoned answers to these comments.

The finalized dissertation work shall be sent to the National Center for Science and Technology to be checked for plagiarism. After receiving the certificate of the National Center for Science and Technology, the Dissertation Board, together with official reviewers, holds a meeting to discuss the finalized dissertation work and responses to comments (if any) in order to eliminate the comments of the Dissertation Board. The meeting shall be held in the manner prescribed in paragraph 32 of this Model Regulation. At the same time, a video of the meeting shall be recorded without online broadcast on the Internet.

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

48. Kurmangazy KNC which has a special status, on the basis of the decision of the Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD), profile doctor, issues an appropriate order to award/refuse to award the degree of Doctor of Philosophy (PhD), profile doctor to a doctoral student within 10 (ten) business days from the date of the decision.

49. Persons who have been awarded the degree of Doctor of Philosophy (PhD), profile doctor by order of Kurmangazy KNC which has a special status, are issued diplomas of its own sample within 5 (five) working days from the date of issue of the order. A diploma awarding the degree of Doctor of Philosophy (PhD), profile doctor are issued at the next meeting of the Academic Board of Kurmangazy KNC.

Information about the award of the degree shall be posted on the Internet resources of Kurmangazy KNC which has a special status, within 3 (three) working days from the date of the decision.

50. The procedure for issuing a diploma awarding the degree of Doctor of Philosophy (PhD), profile doctor in Higher Education Institutions with a special status, is determined by them independently.

51. Within 7 (seven) calendar days from the date of defense, the second copy of the dissertation in unbound form on paper and electronic media, two copies of the dissertation registration card in the state and Russian languages, a list of works on electronic media (in Word format) shall be sent to the "National Center for State Scientific and Technical Expertise" (NCST) for state registration.

52. In case of refusal to award the degree of Doctor of Philosophy (PhD), profile doctor, the dissertation shall be submitted by the doctoral candidate for defense again, but not earlier than one year after the previous defense at Kurmangazy KNC which has a special status.

53. In case of a negative decision, information shall be posted on the Internet resources of a Higher Education Institution with a special status indicating the reason for making such a decision, as well as information about scientific consultants, the

Dissertation Board and official reviewers. In case of a positive decision after the re-defended dissertation, information about the negative decision from the Internet resource shall be removed.

5. RE-DEFENSE PROCEDURE AND APPEALS

54. A dissertation on which a negative decision was made by the Committee or the Dissertation Board shall be submitted for re-defense in the manner prescribed in Chapter 5 of these Regulations.

When submitting a dissertation for re-defense, the Dissertation Board appoints 3 members of the Dissertation Board, who draw up a conclusion on eliminating violations established earlier in the dissertation. The conclusion shall be posted on the Internet resources of the Higher Education Institution at least 10 working days before the defense and read out at the defense of the dissertation.

55. An appeal against a negative decision by the Dissertation Board shall be submitted by a doctoral student in any form within 2 (two) months from the date of the decision to the Higher Education Institution where the dissertation was defended. The procedure for the appeal shall be approved by the Higher Education Institution independently.

An appeal commission (hereinafter referred to as the commission) shall be established within 10 (ten) working days from the date of filing the appeal by order of the Rector of the Higher Education Institution. The commission includes 3 (three) specialists with an academic degree (doctoral candidate of science, doctor of science, doctor of philosophy (PhD), profile doctor) or an academic degree of doctor of philosophy (PhD), profile doctor or a degree of doctor of philosophy (PhD), profile doctor in the relevant specialty (field of study) of a doctoral candidate. Two specialists from the members of the appeal commission are appointed not from among the employees of this Higher Education Institution (with the exception of universities). Members of the commission cannot be scientific consultants, reviewers, members of the Dissertation Board or the Expert Council of the Committee.

56. The decision of the Appeal Commission within 5 (five) working days from the date of its adoption shall be reported to the doctoral student and posted on the Higher Education Institution's Internet resource.

57. The Commission shall be guided in its activities by this DB Regulation as well as the Model Regulations and the Rules.

58. The commission considers the appeal, the dissertation, materials of the Dissertation Board for the defense of the dissertation and prepares an opinion on the results of the appeal within 30 (thirty) calendar days from the date of its establishment.

59. The conclusion of the appeal commission is 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.

60. If an appeal is filed against the decision of the Dissertation Board entitled to award the degree of Doctor of Philosophy (PhD) and profile doctor, then the doctoral student shall be awarded the degree of Doctor of Philosophy (PhD), profile doctor on the basis of a positive decision of the appeal commission, and an appropriate diploma shall be issued.

A doctoral student has the right to appeal to the Committee against a negative decision of the Appeal Commission. In such a case, the appeal is considered in accordance with chapter 5 of the Degrees Awarding Rules.

61. Disputes not regulated by this Model Regulation including the issues of refusal to award the degree of Doctor of Philosophy (PhD) and profile doctor, restoration of the deadline for filing an appeal, shall be resolved under the judicial procedure defined by the legislation of the RK.

6. FINAL PROVISIONS

62. The Model Regulation comes into force on March 29, 2023.

63. Higher Education Institutions where Dissertation Boards functioned and which ceased their activities in connection with negative decisions of the Committee, taken before the entry into force of this Model Regulation, shall not establish Dissertation Boards in the relevant specialties (training areas) of doctoral studies before the expiration of the previously established period.

64. These Regulations enter into force from the date of approval by the Academic Board of the RSI "Kurmangazy Kazakh National Conservatory".

65. A doctoral student who has mastered the full theoretical course of study of the doctoral academic program, but has not completed the research component and/or has not defended his doctoral dissertation within the prescribed period, shall be given the opportunity to re-master the credits of the research component and defend the dissertation in the next academic year on a paid basis. 4 (four) credits shall be allocated for the design and defense of a doctoral dissertation.

66. This Regulation comes into force after approval by the Academic Board of the Conservatory from the date of approval.

67. This Regulation is an internal regulatory document of the Conservatory. Copying, reproduction and transfer in whole or in part of this document without the written permission of the management of the Conservatory is not allowed.

68. An electronic version of this document may only be made available to external parties or regulatory authorities in a copy-protected format.

Report on the work of the Dissertation Board for 20 ____
Dissertation Board at

(name of the Higher Education Institution)

in the area of training _____

Chairman of the Dissertation Board _____

approved by the order of the Committee for Control in the Sphere of Science and
Higher Education of the Ministry of Education and Science of the Republic of
Kazakhstan dated " ____ " _____ 20 __, No. _____.

The Dissertation Board is allowed to accept dissertations for defense in the specialty,
area of training) _____;

The report contains the following information:

1. Data on the number of meetings held.
2. Surnames, first names, patronymics (if any) of the members of the Dissertation Board who attended less than half of the meetings.
3. List of doctoral students indicating the training organization.
4. A brief analysis of dissertations reviewed by the Board during the reporting year, highlighting the following sections:
 - 1) analysis of the topics of the considered works;
 - 2) connection of the topics of dissertations with the directions of development of science, which are formed by the Higher 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 the results of dissertations in practice.
5. Analysis of the work of official reviewers (with examples of the most low-quality reviews).
6. Proposals for further improvement of the scientific personnel training system.
7. The number of dissertations for the degree of Doctor of Philosophy (PhD), profile doctor in the context of areas of training:
 - 1) dissertations accepted for defense (including doctoral students from other Higher Education Institutions);
 - 2) dissertations withdrawn from consideration (including doctoral students from other Higher Education Institutions);

3) dissertations received negative reviews from reviewers (including doctoral students from other Higher Education Institutions);

4) dissertations with a negative decision based on the results of the defense (including doctoral students from other Higher Education Institutions);

5) dissertations sent for finalization (including doctoral students from other Higher Education Institutions);

6) dissertations sent for re-defense (including doctoral students from other Higher Education Institutions).

Chairman of the Dissertation Board _____
(signature, surname, name, patronymic (if any))

Scientific Secretary of the Dissertation Board _____
(signature, surname, name, patronymic (if any))

Seal date " ____ " ____ 20 ____.

Appendix 2
to the Model Regulations on the
Dissertation Board
Template

Quarterly report on the decisions made by the Dissertation Boards on awarding (refusal to award) the degrees of Doctor of Philosophy (PhD) and profile doctor

No	(Full name (if available) of a doctoral student)	Year of birth	The period of study in doctoral studies	Higher Education Institution 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)	Defense date	The decision of the Dissertation Board and the appeal commission (if any)	Diploma number
1	2	3	4	5	6	7	8	9	10	11
Dissertation Board in the specialty (training area)										

Appendix 3
to the Model Regulations on the
Dissertation Board

Template

Information about member applicants to the Dissertation Board

No.	(Full name (if any)) (in the state or Russian and English languages)	Degree, academic title	Main place of work	Citizenship	Hirsch index according to the Web of Science or Scopus information database	Publications in international peer-reviewed scientific journals included in the first three quartiles according to Journal Citation Reports or having in the Scopus database a CiteScore percentile indicator of at least 35	Publications in journals from the List of Publications
1	2	3	4	5	6	7	8

Attendees list

of the Dissertation Board members _____

to the meeting of the Board _____
(date and record number)for the defense of the dissertation of a doctoral student _____
(Full Name)

in the training area, specialty _____

Last name, first name, surname	Academic degree	Attendance at the meeting (signature)
1	2	3

Scientific Secretary
Dissertation Board _____
(FULL NAME)**Notes:**

1. In the column "Surname, name, patronymic" the surname, name, patronymic of all members of the Dissertation Board shall be printed.

Appendix 5
to the Model Regulation
on the Dissertation Board

Information about the doctoral student

(Full Name)

A photo
3 x 4

1	Date and place of birth , citizenship, nationality	
2	Information about doctoral studies (Higher Education Institution and period of study)	
3	Doctoral specialty	
4	Place of defense and date of defense of the dissertation	
5	Topic and language of the dissertation	
6	Scientific consultants (Name, position, academic degrees, academic titles, citizenship)	
7	Official Reviewers (Name, position, academic degrees, academic titles, citizenship)	
8	Number of publications, total including:	
	in publications recommended by the Committee	
	in a foreign edition from the Web of Science or Scopus database	
	in the materials of international conferences, including:	
	the materials of foreign conferences	
9	Labor activity	
	Date	Place of work, position
	dismissal	Location of the institution
	of employment	
10	Place of residence, contact details	

Scientific Secretary of the Dissertation Board _____ (full name, signature)
Seal, date

REVIEW
of the scientific consultant

on the dissertation

(full name of the doctoral student)

"

(dissertation title)

"

submitted for the scientific degree "Doctor of Philosophy" (PhD) in the field of

(field of sciences) in the specialty

(name of academic program)

1. Relevance of the research topic;
2. The degree of validity and reliability of the results;
3. Theoretical and practical significance of the results;
4. Shortcomings in the content and design of the dissertation;
5. Compliance of the dissertation with the requirements for scientific qualification work;
6. Recommendation (or rejection) of a dissertation for public defense.

Scientific Consultant
(academic degree, title)

(FULL NAME)

Appendix 7
to the Model Regulations on the
Dissertation Board
Template

Written feedback from the official reviewer

No.	Criteria	Compliance with the criteria (you must mark one of the answer options)	Justification of the position of the official reviewer
1.	The topic of the dissertation (as of the date of its approval) corresponds to the directions of development of science and/or state programs	<p>1.1 Compliance with priority areas for the development of science or state programs:</p> <p>1) The dissertation was completed within the framework of a project or target program financed from the state budget (indicate the name and number of the project or program)</p> <p>2) The dissertation was completed within the framework of another state program (indicate the name of the program)</p> <p>3) The dissertation corresponds to the priority direction of the development of science, approved by the Higher Scientific and Technical Commission under the Government of the Republic of Kazakhstan (indicate the area)</p>	
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	<p>Level of independence:</p> <p>1) <u>High</u>;</p> <p>2) Medium;</p> <p>3) Low;</p> <p>4) There is no independence</p>	
4.	The principle of internal unity	<p>4.1 Justification of the relevance of the dissertation:</p> <p>1) Justified;</p> <p>2) Partially justified;</p> <p>3) Not justified.</p> <p>4.2 The content of the dissertation reflects the topic of the dissertation:</p>	

		<p>1) <u>Reflects</u>;</p> <p>2) Partially reflects;</p> <p>3) Does not reflect</p> <p>4.3. The purpose and objectives correspond to the topic of the dissertation:</p> <p>1) <u>correspond</u>;</p> <p>2) partially correspond;</p> <p>3) do not correspond</p> <p>4.4 All sections and provisions of the dissertation are logically interconnected:</p> <p>1) are <u>fully interconnected</u>;</p> <p>2) the <u>interconnection</u> is partial;</p> <p>3) there is no interconnection</p> <p>4.5 New solutions proposed by the author (principles, methods) are argued and evaluated in comparison with known solutions:</p> <p>1) <u>there is a critical analysis</u>;</p> <p>2) partial analysis;</p> <p>3) the analysis is not one's own opinion but quotes of other authors</p>	
5.	The principle of scientific novelty	<p>5.1 Are scientific results and statements new?</p> <p>1) completely new;</p> <p>2) <u>partially new (25-75% are new)</u>;</p> <p>3) not new (less than 25% are new)</p> <p>5.2 Are the conclusions of the dissertation new?</p> <p>1) completely new;</p> <p>2) <u>partially new (25-75% are new)</u>;</p> <p>3) not new (less than 25% are new)</p> <p>5.3 Technical, technological, economic or managerial solutions are new and justified:</p> <p>1) completely new;</p> <p>2) <u>partially new (25-75% are new)</u>;</p> <p>3) not new (less than 25% are new)</p> <p>All key findings are based /not based on scientifically sound evidence, or reasonably well-founded (for qualitative research and arts and humanities courses)</p>	
6.	Validity of the main conclusions		
7.	Basic provisions	The following questions need to be answered for each position separately:	

	for defense	<p>7.1 Is the position proven? 1) proven; 2) rather proven; 3) rather unproven; 4) not proven</p> <p>7.2 Is it trivial? 1) yes; 2) no</p> <p>7.3 Is it new? 1) yes; 2) no</p> <p>7.4 Level to apply: 1) narrow; 2) medium; 3) wide</p> <p>7.5 Is it proven in the article? 1) yes; 2) no</p>	
8.	The principle of certainty Reliability of sources and information provided	<p>8.1 Choice of methodology - justified or methodology in sufficient detail 1) yes; 2) no</p> <p>8.2 The results of the dissertation work were obtained using modern methods of scientific research and methods of processing and interpreting data using computer technologies: 1) yes; 2) no</p> <p>8.3 Theoretical conclusions, models, identified interrelations and patterns are proven and confirmed by experimental research (for areas of training in pedagogical sciences, the results are proven on the basis of a pedagogical experiment): 1) yes; 2) no</p>	

		8.4 Important statements are supported/partially confirmed/not supported by references to current and reliable scientific literature	
		8.5 Used literature sources are sufficient/not sufficient for a literature review	
9	Principle of practical value	<p>9.1 The dissertation has a theoretical value: 1) yes; 2) no</p> <p>9.2 The dissertation is of practical importance and there is a high probability of applying the results obtained in practice: 1) yes; 2) no</p> <p>9.3 Are the suggestions for practice new? 1) completely new; 2) partially new (25-75% are new); 3) not new (less than 25% are new)</p>	
10.	Quality of writing and design	<p>Quality of academic writing: 1) high; 2) average; 3) below average; 4) low.</p>	

Transcript
of the Meetings of the Dissertation Board _____
at Kurmangazy Kazakh National Conservatory of the Committee of Culture of the
Ministry of Culture and Sports of the Republic of Kazakhstan
for the defense of the dissertation

(dissertation topic)

(Name of the applicant)

for the degree of "Doctor of Philosophy" (PhD) in the specialty _____

Almaty " _____ " _____ 20 _____

Chairman of the DB: _____
(Academic degree, academic title, full name)

Scientific Secretary of the DC: _____
(Academic degree, academic title, full name)

MINUTES OF THE MEETING № _____

The meeting of the Dissertation Board was attended by:

- 1.
- 2.
- 3.
- 4.
- 5.

Absent for a good reason _____ members of the Dissertation Board:

- 1.
- 2.
- 3.

Chairman: Dear members of the Dissertation Board!

In accordance with the order of the Committee for Control in the Field of Education of Science of the Ministry of Education and Science of the Republic of Kazakhstan, the Dissertation Board for the defense of a dissertation for the degree of "Doctor of Philosophy" (PhD) in the specialty _____ at

Kurmangazy Kazakh National Conservatory was approved by _____ number of people.

Today's meeting is attended by _____ members of the Dissertation Board. All present members of the Dissertation Board signed the attendance list. Quorum is available. Who is in favor of opening a meeting of the Dissertation Board, please vote. Who is against? No. Abstentions? No. Unanimously.

Thesis defense on the agenda is:

(full name of the doctoral student)
" _____"
(dissertation topic)

Scientific consultants:

- 1.
- 2.

- 1.
- 2.

Chairman: Word for familiarization with the personal file of the applicant _____ is provided

(full name of the doctoral student)
Scientific Secretary of the Dissertation Board,

(position, academic degree full name)

Scientific Secretary:

Chairman: Do the members of the Board have questions for the Scientific Secretary or applicant based on the materials of the personal file?

If there are no questions, the floor is given to the applicant _____

Applicant:

Chairman: Thank you. The report is over. Who has questions for the applicant on the report?

FAQ:

Chairman: Any more questions? If there are no questions, then we will continue further discussion of the work. The floor is given to scientific consultants _____

Domestic scientific consultant:

Foreign scientific consultant:

Chairman: Thank you. The floor for announcing the comments received on the dissertation is given to the Academic Secretary of the Dissertation Board

(Name of the Scientific Secretary)

Scientific Secretary:

Chairman: The floor is given to the dissertator _____ to respond to comments on the reviews received.

Chairman: Thank you. The floor is given to the first official reviewer

(full name, position, academic degree)

Official Reviewer #1:

Applicant's response:

Chairman: Thank you. The floor is given to the second official reviewer

(full name, position, academic degree)

Official Reviewer #2:

Applicant's response:

Chairman: Thank you. Let's move on to an informal discussion. You are welcome. Who wants to speak?

Chairman: If there are no more speeches and questions, then it is necessary to select a counting commission for secret voting.

There was a proposal to introduce three specialists to the counting commission.
Chairman of the Counting Commission -

(Academic degree, specialty code, full name)

Who will vote for this proposal?

Unanimously.

Scientific Secretary: I ask everyone to leave. An break for secret ballot is announced.

After the break

Chairman: For the announcement of the minutes of the counting commission, the floor is given to the chairman of the commission

Chairman of the counting commission:

Chairman: Do you have any questions for the Chairman of the Counting Commission? If not, then I propose to vote for the approval of the minutes of the counting commission. Who is in favor of this proposal, please vote.

Unanimously.

Let's move on to the final part of the meeting. It is necessary to discuss the draft conclusion and the classification features of the dissertation.

Classification signs:

Are there any questions about the text of the conclusion? Are there any additions?

Who is in favor of approving the Board's conclusion as a whole, please vote.

The conclusion was adopted unanimously.

Chairman: Based on the public defense at the meeting of the Dissertation Board, the results of the work obtained in the doctoral dissertation (PhD), unofficial reviews, reviews of official reviewers and the results of secret voting, the Dissertation Board concluded that the dissertation research full name _____ fully meets the

requirements of paragraphs 9, 10 "Academic Degrees Awarding Rules", and its author is worthy of the degree of Doctor of Philosophy (PhD) in the specialty 17.00.02 - Musical Art.

The final word is given to the applicant.

Applicant:

CONCLUSION

The Dissertation Board on awarding the degree of Doctor of Philosophy (PhD) in the specialty _____ at Kurmangazy Kazakh National Conservatory of the Ministry of Culture and Sports of the Republic of Kazakhstan on the dissertation _____ on the topic "

(Name of the applicant)

presented for the degree of Doctor of Philosophy (PhD) in the specialty 17.00.02 - Musical Art.

- 1. The relevance of the research topic in the framework of the requirements of paragraphs 9,10 "Academic Degrees Awarding Rules"**
- 2. The following new and reliable scientific results were obtained:**
- 3. The results obtained by the applicant** are characterized by specific degree of reliability and reasoning ...
- 4. The results of the dissertation research** can be qualified as .
- 5. To put into practice**
- 6. Decision of the Dissertation Board (qualification assessment of a doctoral dissertation)**

Classification features of the dissertation

1. The nature of the dissertation results

- 1.1 solution of a problem that is essential for the relevant branch of knowledge.
- 1.2 development of theoretical provisions, the totality of which can be qualified as a new major achievement in the development of a promising direction in the relevant branch of science.
- 1.3 scientifically based technical, economic solutions, the implementation of which makes a significant contribution to the acceleration of scientific and technological progress.

2. The level of novelty of the results of the dissertation

- 2.1 results are new.
- 2.2 individual results are not new.
- 2.3 much of the results are not new.

3. The value of the dissertation results

- 3.1 very high.
- 3.2 high.
- 3.3 significant.

4. Connection of the dissertation topic with planned research

- 4.1 the topic is included in the state program or the international studies program.
4.2 the topic is included in the program of fundamental research, industry program, plans of scientific organizations and higher educational institutions.
4.3 initiative work.

5. The level of implementation (use) of the dissertation results which is of applied importance

- 5.1 at the interstate level (licenses sold)
5.2 across the industry.
5.3 within the organization (enterprise).

6. Recommendations for the extended use of the results of a dissertation of applied importance

- 6.1 requires advanced usage.
6.2 does not require extended usage.

The Dissertation Board _____ for the award of the degree of Doctor of Philosophy (P hD) at Kurmangazy Kazakh National Conservatory of the Ministry of Culture and Sports of the Republic of Kazakhstan on the basis of the conclusion of the expert commission of the Dissertation Board consisting of:

_____,
(Accounting degree, full name)

feedback of official reviewers: _____,
(Accounting degree, full name)

feedback of the lead organization - _____,
(name of organization)

as well as the public defense of the dissertation comes to the following conclusion:
dissertation _____

(full name, dissertation title)

meets all the requirements of paragraphs 9,10 of the "Rules for awarding academic degrees", therefore its author should be considered worthy of the required degree of Doctor of Philosophy (PhD) in the specialty 17.00.02 – Musical Art.

DB Chairman,
Professor, Doctor of Sciences

Scientific Secretary of the DB
Associate Professor, Ph.D.

**MINUTES OF THE MEETING
of the counting commission elected by the Dissertation Board**

Dated " _____ " _____ 20 _____

The membership of the elected counting commissions

(FULL NAME)

The commission was elected for counting votes in a secret ballot on the dissertation

(full name)

For the degree of "Doctor of Philosophy" (PhD) _____

By specialty _____
(name of academic program)

The Dissertation Board membership is approved in the quantity of _____ people. _____
members of the Dissertation Board were present at the meeting, including doctors of sciences by profiles of
the dissertation under consideration _____

Ballots handed out _____

Remaining undistributed ballots _____

It turned out in the ballot box _____

Voting results on the application for the award of the academic degree of "Doctor of Philosophy" (PhD) in the
specialty _____

(name of academic program)

(FULL NAME)

For _____

Against _____

Invalid ballots _____

Evaluation for the completion of a doctoral dissertation _____

Chairman of the Counting Commission _____ --
(FULL NAME)

Members of the commission _____

Appendix 10
to the Model Regulations on the
Dissertation Board
Template

Conclusion of the Ethics Commission _____

Higher Education Institution name

1 .	Full name of doctoral student	
2 .	Specialty (academic program) of doctoral studies	
3 .	The period of study in doctoral studies	
4 .	Dissertation topic, approval date	
5 .	Data on scientific consultants - full name (if any), positions and places of work, academic degrees, citizenship	
6 .	Objects of study	
7 .	Violations in the process of planning, evaluation, selection and conduct of scientific research	Violations detected or not detected. If violations are found, they must be indicated.
8 .	Violations in the process of dissemination of scientific research results	Violations detected or not detected. If violations are found, they must be indicated.
9 .	How was the protection of the rights, safety and well-being of the objects of study (in the case of the presence of objects of wildlife and habitat) carried out?	

List of documents contained in the attestation file:

- 1) Inventory of documents of the first and second attestation file;
- 2) Dissertation in hardcover and on electronic media (on C D -disk);
- 3) List of scientific works approved by the Scientific Secretary of the faculty or Higher Education Institution where the doctoral student was trained and copies of the publication on the topic of the dissertation;
- 4) Registration card of the dissertation in Kazakh and Russian in the form provided in Appendix 2 to this Regulation;
- 5) The NCST Certificate on checking the dissertation for the borrowed material use by a doctoral student without reference to the author and source of borrowing;
- 6) Reviews of scientific consultants, certified at the place of work (including a notarized translation of the review of a foreign scientific consultant into the language of writing the dissertation);
- 7) Feedback of 2 reviewers, certified at the place of work;
- 8) The attendance list of the Dissertation Board members in the form provided in Appendix 5 to these Regulations;
- 9) Video recording and transcript of the Dissertation Board meeting for the defense of the dissertation, signed by the Chairman and Scientific Secretary;
- 10) Copies of diplomas of higher and postgraduate education, Appendixes to them (copies of the transcript); (in case of replacement of the last name by the doctoral student, a document confirming the change of last name shall be submitted);
- 11) A copy of the transcript on mastering the professional doctoral curriculum;
- 12) Information about the doctoral student in the form provided in Appendix 7 to this regulation;
- 13) A personal sheet certified at the place of study by the personnel department of the Higher Education Institution;
- 14) Doctoral candidate's application for admission to the defense with the resolution of the chairman of the Dissertation Board;
- 15) Minutes of the meeting of the department, where the dissertation was executed with a positive conclusion and recommendation for defense;
- 16) Conclusion of the expert of the Dissertation Board;
- 17) Registration card of the dissertation with registration with the JSC NCST;
- 18) Certificates from libraries proving that copies of the dissertation have been handed over to the library stock (3 pcs.);
- 19) Cover letter addressed to the Dissertation Board (for doctoral students of other Higher Education Institutions);

- 20) Extracts from orders on the approval of the dissertation topic and scientific consultants, on admission to the defense.

CHANGES SHEET

[illegible]

FAMILIARIZATION SHEET

[illegible]

